WA Homeland Security Institute

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Washington State
Homeland Security Institute

Emergency Responder Training Assessment and Recommendations

Washington Statewide Strategic Plan
Objective 5.1.2

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1 Executive Summary

Although Washington continues to make advancements in preparedness, **the training needs of emergency responders are not being met statewide.** Given the likelihood of major incidents - on the scale of Oklahoma City, Katrina, the September 11th attacks -occurring in our State, it is crucial that resources available for responder training be used wisely. This will be particularly difficult in a time of:

- Increasing apathy toward the threat of terrorism (there has been no domestic attack since 9/11).
- A decline in federal resources (with an accompanying increase in grant management reporting responsibilities).
- Use of Washington's "home rule" status as a justification for the lack of statewide standards and the limited coordination of training.
- Training taking a backseat to equipment procurement. It is easy to point at a new piece of gear and say "this is what we got for our money." It is much more difficult to plan and account for training.

This appraisal describes a strategy for improving the training of Washington's emergency responders. The assessment and recommendations consider personnel in all eleven recognized disciplines, from all areas of the State, sizes of agencies, and levels of employment. The Homeland Security Institute (HSI) was selected to research these issues, and to make recommendations, based on its role in the State Homeland Security Strategic Plan.

A **Gap Analysis** conducted by HSI reveals a number of weaknesses in existing training structure, content, and delivery. These include the need for

- Curriculum delineating the roles and responsibilities of other disciplines.
- Improved tracking of training.
- A centralized source of training resources and information.
- Cross-discipline standards and minimum expected levels of preparedness, and credentials which are recognized across the State.
- Multi-modal delivery of training which steps beyond the traditional classroom, together with improved training materials.

- Opportunities for frequent and focused refresher training.
- Refined evaluation methods which reflect real-world response capabilities.

Emergency responders throughout Washington favor statewide training **Standards**. Standards increase interoperability and enable personnel on-scene to speak the same language, share information, and take a uniform approach to problems. This report provides recommendations for establishing statewide, awareness-level, cross disciplinary training standards based on current Office for Domestic Preparedness (ODP) Emergency Responder Guidelines.

HSI is tasked with researching existing **Credentialing** systems and making recommendations on establishing criteria to support such a system in Washington. The rapid assignment/tracking of individuals and units at a large scale disaster site is important. Perimeter and scene control, as well as responder health and safety also come into play. Credentials provide a reflection of training and certification standards achieved. HSI staff conducted interviews with federal officials and researched the disparate efforts currently underway or planned in other states. Given current conditions, we believe a cost-benefit analysis precludes any major immediate investment in a credentialing system. HSI does, however, make a number of recommendations for low or no-cost steps which could be taken immediately, to lay the groundwork for a simplified Washington State credential.

Responder safety and effectiveness depends on their confidence in those working with them on-scene. A **Training Assessment and Monitoring** process, implemented statewide for all response disciplines, will allow the State's level of preparedness to be known and training to be marketed and targeted to those who need it. HSI proposes a number of initiatives to ensure course **Content** is realistic and relevant. In order to meet the limited time most responders have to train, **Delivery** recommendations center on more tailored, short, refresher classes, supported by a greater use of online training with value-added technology features. Competence-based **Evaluation** of intended outcomes, rather than credit for presence in a classroom, need to be more routinely applied.

The Homeland Security Institute has made progress in its first year, toward building emergency responder training which is systematic, sustainable, achievable, scalable, and cost effective. We realize a great deal more needs to be done. We hope a careful consideration of the findings and recommendations contained in this report will help prepare Washington's emergency responders for the disaster or attack which is inevitable.

2 Introduction

"Our ability to respond depends on the training of every discipline, organization, and level of government. Only collectively, do we have the "total package".[1]

Emergency responder training is a critical component of Washington's emergency preparedness. Except for hurricanes, the State is subject to virtually every natural hazard. It has the second highest seismic risk in the nation and consistently experiences floods, severe weather, and wildland fires. Washington is also highly vulnerable to manmade disasters, including terrorism. Washington's high risk for terrorism is a product of the scale and significance of its infrastructure, international borders, number of critical facilities, and visibility of special events, conventions, and visits by high profile personalities and dignitaries. The State's risk for terrorism is ever increasing as its importance in global economics and trade grow.

State and local responders will be the first on scene in virtually any kind of disaster, natural of manmade. Federal resources may not arrive for days or even weeks. In addition to their proximity to the scene, state and local agencies already have plans, emergency management systems, and equipment in place.

Major incidents, like Katrina, Oklahoma City and the September 11th attacks are dramatically larger in scope and considerably more complex than most events faced by emergency responders. They require managing a large site, possibly with thousands of casualties, and organizing responders with diverse backgrounds and specialties from multiple agencies and jurisdictions. Responders are called upon to do extraordinary things even though most of them have never have confronted a similar situation.

Training, experience, and practice are critical for building the expertise needed by Washington's emergency responders for dealing with incidents of all types and magnitudes. This training must teach a core set of skills to all of the disciplines that are involved in response and impart in-depth proficiency to those who provide specialized assistance. Responders also need continuous access to refresher courses and "just in time" training when an event occurs.

Although Washington continues to make advancements in preparedness, the training needs of its emergency response disciplines are not being met statewide. This is not only reflected in the research behind this assessment, but was recently reported in the 2005 Washington State Emergency Management Council Report to the Governor. A one and one half year study conducted by their Task Force on Local Programs found that

"…emergency management and homeland security capabilities at the local level often do not meet the basic needs of local jurisdictions." They cite insufficient training and exercises as a factor leading to lower levels of overall local preparedness.[2]

Purpose

This assessment describes a strategy for better meeting the training needs of the State's emergency responders. It recommends actions to meet immediate needs and systems that will grow and improve over time. Implementing the strategy will ensure that the investment already made to train Washington's emergency responders is protected.

The assessment considers responders from all areas of the State, levels of government, sizes of agency, and positions of employment. It addresses police, fire, EMS, hazmat, emergency communications, emergency management, public works, public health, health care, security, and volunteer organizations.

Development

The Homeland Security Institute (HSI) was selected to develop this assessment, because of its leadership role in facilitating and coordinating shared training across all of Washington's emergency response disciplines. HSI was established under the auspices of the State Board for Community and Technical Colleges to meet a significant objective of the Washington State Homeland Security Strategic Plan. That objective is to *"develop a multi-discipline training capability to provide statewide emergency responders training, certification, and credentialing."* During its first year, HSI made great strides towards meeting this goal. This plan helps to further define a strategy for accomplishing it.

HSI completed the assessment as one product in its 2005 contract agreement, Contract No. C050345FED, with the Washington State Patrol. Funding for its development was provided through the FY2004 Washington State Homeland Security Program. The United States Department of Homeland Security, Office for Domestic Preparedness distributes federal funding for this program in order to enhance national preparedness through planning, training, equipment, and exercise, and to support the needs of state and local emergency responders.

[1] Unless otherwise noted, quotations in **bold** are from emergency responder surveys and interviews from May – Dec 2005.

[2] A Study of Emergency Management at the Local Program Level, Washington State Emergency Management Council Task Force on Local Programs, September 2, 2004.

3 STATE GAP ANALYSIS

This section presents information gathered through stakeholder surveys and interviews with more than 100 emergency responders from throughout the State. The information was collected between May and December 2005. The stakeholders represent police, fire, EMS, hazmat, emergency communications, emergency management, public works, public health, health care, security, and volunteer organizations. They work for public and private sector agencies, as well as, state and local governments. They serve different parts of the State and are employed by large, small, and volunteer departments. The stakeholders also have a range of experience and present front line, mid-management, and executive level perspectives.

This gap analysis was designed to evaluate how training can better meet the needs of the State's emergency responders. It considers training gaps that exist within and between disciplines, statewide training standards and credentialing, best practices for providing training, and barriers to successful training.

The responses to the gap analysis are summarized below, following each specific interview/survey question. When useful to the discussion, other related surveys results are referenced.

Does your department have the right training, right now, to respond to a major disaster or terrorism incident?

"We're fully trained for our typical missions, but a major incident, I'm not certain."

Most stakeholders are confident in their organization's ability to do perform during emergencies and disasters, including terrorism incidents. However, there is a pervasive lack of confidence in their ability to perform during large-scale incidents that require them to work within an overarching response system that includes other disciplines and jurisdictions. This stems primarily from their lack of understanding about other disciplines' roles and responsibilities and apprehension about how they fit in and what is expected from them.

Many stakeholders expressed concern about the level of training achieved by other organizations and disciplines that will respond as part of a large-scale response. Uncertainties were commonly raised about the competence of other agencies from home jurisdictions, different areas of the State, and "fringe" or supporting disciplines.

Several expressed concern that others do not believe terrorism is a significant risk, do not realize the urgency to train, and/or do not think that they will have a significant role during a terrorism incident.

Disciplines that expressed the most confidence in their level of training are front line responders from hazmat and volunteers from the American Red Cross and Search and Rescue. These stakeholders repeatedly described themselves as "training all the time", having well structured training curricula, standards, and internal certifications.

Conversely, the least confident are EMS line staff and all levels of health care personnel. These stakeholders commonly stated that they have not received sufficient training, especially in NIMS/ICS and interagency operations.

Another consistent theme was heard from emergency managers statewide. They described themselves as being comfortable with their progress and "having a good road map" for where they want to go. This may reflect the fact that one third of the State's emergency management offices report conducting an annual training needs assessment[1] and, therefore, are able to track progress.

Finally, a common statement made by line staff was that, although not everyone is trained, those who need to be, i.e. managers and supervisors, have the right training.

Related Survey Results

In 2004, the State Emergency Management Council Task Force on Local Programs conducted a study of local-level emergency management programs. As part of their effort they obtained interview/survey responses from emergency management offices throughout the State. Respondents from counties with less than 20,000 in population, cities with less than 50,000 in population, and tribes rated their training and exercise programs as "less than effective." Respondents from the remaining, more populated jurisdictions rated the effectiveness of their programs as "average."

Additionally, the Task Force results show that personnel with emergency management responsibilities from less populated jurisdictions and tribes use available training to a significantly lesser extent than those from more populated jurisdictions. Similarly less populated jurisdictions and tribes exercise their emergency response plans and participate in regional exercises substantially less than more populated jurisdictions.[1]

In June 2005, the Washington Emergency Management Division conducted a survey of over 40 state, local, and tribal emergency response organizations. More than 79% of the respondents stated that they would benefit from **a central organization for overseeing homeland security training statewide**. Such an organization would be responsible for identifying and filling training gaps, developing standards, and providing training resources.

Likewise, more than 80% said that they will benefit from **one statewide source for training needs.** Examples of such needs included a database of qualified trainers and statewide training schedules.[2]

Are you confident that your department understands how to implement NIMS/ICS in conjunction with other local, state, and federal agencies?

"A few could, but we need more training."

Most of the stakeholders are familiar with NIMS/ICS, appreciate its importance, and expressed a need for more training within their organization. The level of NIMS/ICS training achieved varied from "none" to "completely trained" regardless of discipline, geography, population, and size of agency. In the majority of cases, management level personnel had received some training, but field staff had received little or no training.

Some stakeholders said that, although they had received some initial NIMS/ICS training, they need refresher training to remain current. Stakeholders, who described themselves as well along the way to being completely trained on NIMS/ICS, see it as a weakness elsewhere.

The 2004 survey of emergency management personnel conducted by the Washington State Emergency Management Council Task Force on Local Programs reported that 68% of the respondents from counties, 51% from cities, and 14% from tribes are trained in their jurisdiction's incident command or management system.[1]

A 2005 survey of Citizen Corps volunteers conducted by the Washington Citizen Corps Council reported that 82% of the respondents have taken ICS or NIMS training. The most common courses completed were IS700 (49%) and IS100 (38%).[3]

What training does your department lack that would help you to respond more effectively to a major disaster or terrorism incident?

"People don't know what others' roles are in an emergency, disciplines work in vacuums, with little cross training".

Overwhelmingly, the most-common-training need identified by the stakeholders is training to better understand the roles and responsibilities of other disciplines, followed by interagency, cross jurisdictional training. Police and fire typically described the latter need in the form of exercises.

Hazmat and terrorism awareness are a common need for respondents from emergency communications, EMS, and volunteer agencies, including volunteer fire.

On the other hand, advanced-level terrorism courses are needed by representatives from emergency management, public health, law enforcement, public works, and the private sector.

Routine and/or mass decontamination methods were identified consistently by EMS and NIMS/ICS by almost all health care respondents.

Hands-on equipment training was commonly identified by front line staff, as well as stakeholders from hazmat, emergency management, and health care.

Generally, more awareness-level training is needed in Western Washington. Stakeholders in Eastern Washington expressed a greater need for specialized and scenario-based training.

Front line staff was more likely to identify hands-on equipment and awareness-level training whereas mid and upper level staff expressed a greater need for refresher, incident management, and scenario training.

Other identified training topics include interoperable communications, risk assessment, cyber security, understanding and detecting CBRNE agents, mass fatality management, community involvement/mobilization, communication and cultural skills, and critical incident stress management. Suggested scenarios include transit system response, radiological emergencies, bioterrorism, mass evacuation and sheltering, and large-scale hazmat incidents.

Do you think that all-hazards or terrorism awareness-level training should be mandatory?

"We need a high percentage of participation for the training to have an impact."

Although the majority of stakeholders agreed with mandating awareness-level training, most placed contingencies on it.

Those favoring a mandate believe that it is the only way to achieve statewide awareness-level training within all departments and disciplines. They think that the risk to responding personnel and the public justifies a mandate. Stakeholders from the primary response disciplines (police, fire, hazmat, and EMS) and front line staff most strongly supported the mandate.

Those not in favor typically stated that mandates lead to resistance and awareness-level training should be recommended only. Some believe that it is better to encourage training through associated funding. Volunteers voiced a consistent concern that too many restrictions will reduce their staffing.

Many stakeholders expressed concern that the mandate should only apply to a percentage or specific levels of management within an organization. Similarly, many stated that mandated training must not be a hardship. It must be well funded and easily obtainable.

Do you think that it would be beneficial to standardize all-hazards or terrorism awareness-level training statewide.

"Standardized training is the only way people who have never worked together can have a chance at success"

The vast majority of stakeholders believe statewide training standards are needed. They want a clear knowledge of the level of training attained by others within their own discipline and jurisdictions, as well as those responding through mutual aid. Even more so, they want to have confidence that disciplines they *do not* work with on a daily basis have a minimum level of training.

The stakeholders believe that standards will allow responders who have never worked together to succeed. Conversely, without standards, they anticipate that major events will suffer from wide spread interoperability issues. Almost all of the stakeholders affirmed that standards will provide responding personnel with the ability to speak the same language, share information, and take a uniform approach to problems.

Many stakeholders do not believe that small or volunteer departments or supporting disciplines will achieve the level of readiness they need without standards. Several stakeholders from small, rural agencies expressed support for standards only if they are contingent on not using a "one size fits all" approach, but take into account an organization's level of resources, funding, and size.

Other suggestions include making the statewide awareness-level training standards practical, achievable, part of the first responder culture, attainable without hardship, associated with funding, and applicable to the appropriate level of personnel. Additionally, the statewide standards should recognize, support, and be compatible with standards already under development by regions, jurisdictions, organizations, and disciplines.

Related Survey Results

During the 2005 Washington Emergency Management Division survey, emergency responders affirmed that ICS, NIMS, Weapons of Mass Destruction, Personal Protective Equipment, Mass Decontamination, and Operational Security and Safety courses are important components of awareness-level training.[2]

Do you think credentialing is needed/beneficial?

"Even in small scale- mutual aid situations we have interoperability issues, a major event would result in a Tower of Babble."

Most of the stakeholders support a statewide credential that will allow on-scene managers to authenticate identity and level of training. Their primary reasons are to improve safety, logistics, and interoperability during major events involving mutual aid.

The stakeholders strongly expressed that their safety depends on the competence of others on-scene. Everyone should be able to prove their level of training. "Even the knowledge that others have achieved a basic standard of training helps keep everyone alive."

The stakeholders also stated that credentialing will reduce confusion and enable on-scene managers to deploy incoming personnel more effectively and efficiently. In addition, credentialing meets federal guidelines for NIMS compliance.

Finally, the stakeholders affirm that credentialing realizes the benefits of standards. It ensures that everyone on-scene is "on the same page", speaks a common language, and knows consistent procedures, protocols, and how to share information with one another.

Those Stakeholders, who are skeptical about a statewide credential, and who are reluctant to have the State step-in, expressed concern about bureaucratic requirements, and/or believe credentialing should be provided through a given organization or discipline only.

What modes of training best suit your department?

"Small agencies have limited budgets and resources. Training programs need to recognize and accommodate that."

For all disciplines, instructor-led classroom training is the most common form of training delivery. This is especially true for fire, hazmat, law enforcement, public works, and volunteer organizations. Other forms of training delivery, including online training, CDs, DVDs, videos, video-conferencing, and satellite downlink conferencing are pursued most extensively by emergency communications, health care, EMS and private sector personnel.

Although the stakeholders are most familiar with classroom training, almost all of them are willing or actively taking courses online. The most common reason for favoring classroom training is that it allows face-to-face contact and networking. Conversely, online training is preferred for its flexible scheduling, high level of information, ability to work at own pace, low cost, and lack of required travel. Stakeholders also appreciate that online training courses can be updated more readily and less expensively than printed

materials. Several stakeholders suggested that online training solved the problem of tired, poor quality trainers and the "same old instructor led classrooms."

Many stakeholders said that they would be more likely to pursue online training if it were improved in terms of media. Suggested improvements include injecting stimulating technology, using video and sound, building in simulations using realistic scenarios that allow players to make choices and require judgment, and incorporating more graphics. Several stakeholders said that they are actively looking for the right online opportunities.

Related Survey Results

The June 2005 Washington Emergency Management Division survey found that 67% of the respondents were "likely" or "more likely" to attend classroom training. However, 80% stated that the value of online training is "desirable" or "highly desirable."[2]

The survey conducted by the Washington Citizen Corps Council in October 2005 reported that the respondents mostly attend classroom training (79%). However, 82% have also pursued online training, most frequently, independent study (63%) and DHS/FEMA courses (42%).[3]

Similar views were expressed in The Northwest Center for Public Health Practice 2000 Training Needs Assessment Update for Washington State. The results of their interviews with public health personnel were summarized in the following statement, "the emphasis in future training efforts should be as much on the modality as on content…All training should make use of case-based learning, with much participant interaction, and take advantage of the many options offered by distance learning technologies to supplement direct training and teaching sessions."[4]

During a recent nationwide law enforcement survey conducted by the Rural Crime and Justice Center, respondents overwhelmingly identified face to face training as their preferred method for training delivery. However, participants from the Pacific Northwest also recognized correspondence courses and video as popular training methods.[5]

During another nationwide survey of 100 first responders conducted in March 2004 by Peter D. Hart and Robert M. Teeter Research Firms, participants ranked the usefulness of shared training opportunities via e-learning, distance learning, and web-based learning as 4.1 on a scale of 1 to 5, with 5 being extremely useful.[6]

What are your suggestions for improving training materials?

"Real-life and recent examples wherever possible."

The Stakeholders have many ideas for improving training materials. Most commonly, they expressed the need for materials to be tailored to the targeted audience and appropriate region. They desire them to incorporate real-life scenarios, case-studies, recent examples, and local images. When appropriate, they recommend that the materials include hands-on exercises and group activities. The stakeholders also recommend that training materials be configured into manageable blocks of time.

Many stakeholders expressed frustration that existing materials are put together too quickly and not kept updated. They also described existing materials as being difficult to understand. They suggested that the materials be written in easy, understandable language, "plain English". They recommended limiting big words and eliminating acronyms. The stakeholders also suggested making the materials more user-friendly. They want to be able to identify and find learning points more easily. They also want the materials to be a better resource for studying for tests.

Other suggestions for improving training materials include making them portable and physically durable for use in the field. Some recommended laminating critical materials, others "pocket cards" containing key information in a condensed or diagrammatic format.

Is shorter, more frequent training better?

"Shorter is better, refresher training is critical"

The vast majority of stakeholders consider shorter, more frequent training, better. All stated that training should be limited to one day or less. Their most preferred amount of time is ½ - 1 day. When significant travel is required, the stakeholders desire at least 6 hours of training. The primary reason for favoring shorter, more frequent training is that it permits regular refresher opportunities that keep training materials, as well as staff current.

What evaluation methods should be used to ensure that those taking a training course learned the material?

"Throwing the material out there and hoping for the best won't cut it"

The stakeholders are divided on how to evaluate training experiences. Some prefer tests, while others favor drills, exercises and other performance measures. All believe that some form of evaluation is important, because it indicates if students have a grasp of the

subject, holds students accountable, demonstrates knowledge, and provides feedback to instructors.

Those who prefer tests believe that tests provide better, more measurable and comparable feedback. Tests also hold students accountable for attendance, and can be completed when there are time limitations. Several stakeholders expressed the desire for pre and post testing, as well as the ability to self test. Regardless of preference, many claimed that most tests are not well designed or well written.
Those who favor drills and exercises claimed that these activities allow one to see how to do it, give opportunity for interaction with other agencies, and allow testing as a team. Other suggested evaluation methods that rely on performance were peer observation, instructor observation, and response to instructor questions.

What barriers keep you from attending training?

"Much of the best traditional training is a long way from Yakima"

Across all disciplines, the number one reason that the stakeholders are not able to attend training is that they are over tasked and do not have time. The second most common reason is lack of funding. Cost is especially challenging for law enforcement EMS, public works, and volunteer personnel. These results agree with a nationwide study during which law enforcement respondents from the Pacific Northwest indicated that cost (78%) and time (65%) are their greatest obstacles to training.[5]

A fewer number of stakeholders identified difficulty scheduling and substandard trainers/training as barriers. Private sector representatives consistently identified travel as a barrier.

Other reasons given less often include:

- Family
- Bureaucratic approval process
- Overtime issues
- Lack of organizational support
- Real world situations
- Motivation

Summary of the Gap Analysis Findings

1. Most emergency responders throughout the State have insufficient training for large-scale incidents that will require them to work within an overarching response system that includes other disciplines and jurisdictions.

2. All responders need training to better understand the roles and responsibilities of other disciplines. In addition more interagency and cross jurisdictional training is needed.

3. Most emergency responders are familiar with NIMS/ICS, appreciate its importance, and expressed a need for more training within their organization. In the majority of cases, management level personnel have received some training, but field staff has received little or no training.

4. Most responders have existing training needs with topics varying based on discipline, geography, population, size of agency, and level of personnel.

5. Statewide training accomplishments are not documented or publicized in a way that allows responders to know what training has been received by other agencies, disciplines or jurisdictions.

6. Statewide training needs and gaps are not assessed, tracked or monitored in a way that allows training to be marketed or targeted to those who need it.

7. Emergency responders need a single, centralized statewide source for training resources and information.

8. The unique training needs and barriers for rural jurisdictions, tribes, small departments, and volunteer agencies need to be addressed in order for them to achieve and maintain the requisite level of readiness.

9. The State needs to determine a minimum level of preparedness for emergency response agencies. A statewide model is needed to help agencies, jurisdictions and disciplines know what will be expected of them during large-scale events. The model may be used as a basis for identifying and prioritizing training.

10. A strategy is needed to ensure that statewide awareness-level training is achieved and maintained within all emergency response disciplines. The strategy needs to identify the awareness-level curriculum, what level or percentage of personnel it applies to, and the viability of using a mandate, funding or some other means to encourage participation.

11. Statewide training standards are needed. Responders need to be knowledgeable about the level of training attained by others and confident that disciplines they do not work with on a daily basis have a minimum level of training.

12. A statewide training credential is needed to improve safety, logistics, and interoperability during major events involving mutual aid.

13. Training needs to be provided in multiple modes in order to accommodate the range of training preferences, capabilities, and needs throughout the State and to maximize the accessibility of training to all responders.

14. Training needs to promote participant interaction, the use of judgment, and decision making.

15. Online training needs to be improved in terms of media, such as by injecting stimulating technology, using video and sound, building in simulations, and incorporating more graphics.

16. Training materials need to be better tailored to the targeted audience, incorporate real-life scenarios, case-studies, recent examples, and local images.

17. Training materials need to be more understandable, user-friendly, current, and configured into manageable blocks of time. Consideration also needs to be given to the use of training materials in the field.

18. Responders need shorter, more frequent training that permits regular refresher opportunities, which can provide a forum for current issues.

19. Training needs to be evaluated in order to substantiate that the material has been learned and to provide student and instructor feedback.

20. Tests used to evaluate training need to be better designed and written.

21. Training needs to be more accessible and achievable to those who have limited time, funding, and resources.

[1] A Study of Emergency Management at the Local Program Level, Washington State Emergency Management Council Task Force on Local Programs, September 2, 2004.

[2] Homeland Security Training Survey, Washington State Emergency Management Division, June 2005.

[3] October 2005 Programmatic Update, Washington Citizen Corps Council, October 2005.

[4] Workforce Development Project, 2000 Training Needs Assessment Update-Washington State, Final Report, The Northwest Center for Public Health Practice, August 2000.

[5] Nationwide Rural Area Law Enforcement Study, A Compilation and Analysis of Data, The Rural Crime and Justice Center (RCJC) of Minot State University, February 2005.

[6] CEG First Responders Survey, Study #77192b, Peter D. Hart and Robert M. Teeter Research Firms, March 2004.

Implementing Training Standards

"Local responders will have the greatest effect on saving lives and bare the greatest risk of losing their lives responding to a terrorism incident or disaster."

The importance of training standards could not be felt more deeply than by states and local governments who have gone through major disasters or terrorism attacks. As Oklahoma City, 9/11, and most recently, Katrina vividly remind us, local emergency responders are the community's first line of response, regardless of the event. Community protection and well-being depends on the training, experience, and abilities of local responders.

In 2000 and 2001, the National Governors' Association (NGA) Center for Best Practices and the National Emergency Management Association (NEMA) co-sponsored a series of regional forums on emergency preparedness. One outcome of the forums was the state officials' recommendation for states to mandate WMD specific training and pursue standardized training and exercises[1].

Washington State recognizes that developing training standards is an important strategic goal that will "assure readiness for complex emergency responses."[2] Similarly, Homeland Security Region VI, which encompasses King County and Seattle ranked specifying desired levels of training, "high."[3]

Emergency responders throughout Washington favor statewide training standards. They want to be confident that the people who are working with them and supporting them, especially those they do not work with on a daily basis have a minimum level of training. Additionally, they recognize that standards increase interoperability and enable personnel on-scene to speak the same language, share information, and take a uniform approach to problems.

In addition, to enhancing safety, training standards will help Washington and its jurisdictions to measure their level of preparedness, target resources to close gaps, and document compliance with national preparedness goals.

NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

NIMS is a comprehensive system of incident management. It provides a consistent framework for all jurisdictional levels for all types of emergencies. It promotes

interoperability and facilitates resource acquisition during large-scale or complex incidents.

Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, requires all federal departments and agencies to adopt and implement NIMS, and requires states, territories, tribes, and local governments to implement the NIMS to receive federal preparedness funding[4].

On September 30, 2004, former Governor Gary Locke signed a proclamation directing state agencies and the Washington Emergency Management Division to adopt and integrate NIMS. NIMS Compliance Activities to be accomplished in FY2005[5] include:

States and Territories

- Incorporate NIMS into existing training programs and exercises;
- Ensure that federal preparedness funding supports state, local and tribal NIMS implementation;
- Incorporate NIMS into Emergency Operations Plans;
- Promote intrastate mutual aid agreements;
- Coordinate and provide NIMS technical assistance to local entities; and
- Institutionalize the use of the Incident Command System.

State, Territorial, Local and Tribal Jurisdictions

- Complete the NIMS Awareness Course: "National Incident Management System (NIMS), An Introduction" IS 700.
- Formally recognize the NIMS and adopt NIMS principles and policies.
- Determine which NIMS requirements already have been met.
- Develop a strategy and timeframe for full NIMS implementation.
- Institutionalize the use of the Incident Command System (ICS).

To receive FY2006 preparedness grant funds from any federal department or agency, states had to self-certify that they have met the minimum FY2005 requirements. On August 30, 2005 Adjutant General Timothy Lowenberg certified that the State of Washington in coordination with local governmental and tribal entities successfully complied with the minimum FY05 NIMS compliance requirements.

The NIMS Integration Center (NIC) has defined NIMS FY2006 compliance activities in their NIMS Implementation Matrix for States and Territories[4] and NIMS Implementation Matrix for Tribal and Local Jurisdictions[6]. Required training is detailed in the NIC's October 2005 guidance, FY2006 Training Requirements[7]. Beginning in FY2007, all federal preparedness funding will be conditioned upon full compliance with the NIMS. Full compliance means meeting both FY2005 and FY2006 criteria.

To meet NIMS FY2006 compliance criteria, the Washington State Patrol (WSP) and Emergency Management Division (EMD) entered into a joint operation to facilitate NIMS training throughout the State. WSP has been tasked with coordinating and providing

technical assistance for all state agencies. They are planning to provide training for instructors from each agency, to build a train-the-trainer capability in each agency.

Washington EMD is responsible facilitating NIMS compliance among local agencies. To support this effort, they are in the process of recruiting qualified NIMS/ICS trainers from homeland security regions, tribes, and federal and state agencies throughout the State to provide NIMS/ICS training in their region. EMD will provide the trainers with statewide credentialing, course materials, and State certificates of training. EMD will also sponsor their course delivery of specific NIMS/ICS courses.

EMD is including the State-credentialed NIMS/ICS trainers in HSI's trainer database. This will facilitate trainer and training resource sharing, coordination of curriculum updates, and documentation for federal compliance requirements.

The Office for Domestic Preparedness (ODP) is in the final stages of approving HSI's online NIMS IS-700 course. This is the first and only, State-customized course they have approved. HSI's online course is tailored to Washington's emergency response system. It is also tied to a tracking system that documents completions. Training certificates are immediately available to trainees and training managers. The information collected will be readily available for validating NIMS compliance.

The State Gap Analysis found that the level of NIMS/ICS training already achieved varied from "none" to "completely trained" regardless of discipline, geography, population, and size of agency. In the majority of cases, management level personnel had received some training, but field staff had received little or no training. In particular, health care organizations reported a need for training.

Recommendation: Continue to uphold NIMS/ICS as a Washington State Standard. Expand the requisite training as required by federal guidance. Monitor the extent of training, identify training gaps, and target resources to where they are most needed. Ensure that refresher training is available and provided to support the current investment.

Recommendation: Expand HSI's trainer database to include Washington's NIMS/ICS trainers.

Recommendation: Promote HSI's ODP- approved online NIMS course (equivalent to IS 700) to ensure responders receive State-tailored training and allow completions to be tracked.

The State Gap Analysis found that the level of NIMS/ICS training already achieved varied from "none" to "completely trained" regardless of discipline, geography, population, and size of agency. In the majority of cases, management level personnel had received some training, but field staff had received little or no training. In particular, health care organizations reported a need for training.

Awareness-Level Training

Awareness-level training provides responders with the basic level information that they need to recognize a threat or abnormal condition, take personal protective measures, protect/secure the scene, and notify others. The Department of Justice's "Emergency Responder Guidelines[8]" contains current ODP recommendations for awareness-level training. They are:

- Recognize hazardous materials incidents.
- Know the protocols used to detect the potential presence of weapons of mass destruction (WMD) agents or materials.
- Know and follow self-protection measures for WMD events and hazardous materials events.
- Know procedures for protecting a potential crime scene.
- Know and follow agency/organization's scene security and control procedures for WMD and hazardous material events.
- Possess and know how to properly use equipment to contact a dispatcher or higher authorities to report information collected at the scene and to request additional assistance or emergency response personnel.

The State Gap Analysis found that awareness-level training is not being received by all response disciplines statewide. Responders from emergency communications, EMS, and volunteer agencies, including volunteer fire still need hazmat and/or terrorism awareness training. More awareness-level training is also needed in Western Washington, as well as by front line staff. Awareness-level training is an ongoing need for new employees, as refresher training is for others.

The gap analysis also shows that the State's responders are not confident in their ability to perform during large-scale incidents that require them to work within an overarching response system that includes other disciplines and jurisdictions. This stems primarily from their lack of understanding about other disciplines' roles and responsibilities, and apprehension about how they fit in and what is expected from them. This "awareness-level" knowledge is critical to being able to perform effectively during incidents involving mutual aid.

Washington has good mechanisms in place to provide awareness-level training. The State has many trainers certified to teach awareness-level courses. Additionally, awareness-level training is available through the State's public safety academies, professional associations, HSI's online courses, federal training institutions, and other venues.

Recommendation: In addition to NIMS/ICS, the Emergency Management Council should adopt a statewide, awareness-level, cross-disciplinary, training standard. Ensure that the standard complies with current federal guidance such as the Department of Justice's "Emergency Responder Guidelines" and includes training on the roles and responsibilities of emergency response disciplines.

Develop criteria for who needs to achieve the standard and evaluate the viability of using a mandate, funding or some other means to encourage participation.

Monitor the extent of awareness-level training, identify training gaps, and target resources to where they are most needed. Ensure that refresher training is available and provided to support the current investment.

Tracking Trained Responders

A crucial element of building a standard is being able to track completions. In order to use a standard as a basis for credentialing, track the State's level of preparedness, and document compliance with national preparedness goals, it is necessary to have a centralized system for tracking who has attained the standard.

Recommendation: Develop a statewide system for tracking responders who have met the State's NIMS/ICS and awareness-level standards. Use the information as the basis for credentialing, to monitor statewide preparedness, and document compliance with national preparedness goals.

Readiness Benchmarks

During the gap analysis, a number of responders favored statewide readiness benchmarks to use for evaluating their level of preparedness. Without objectives, it is not possible to measure progress or target resources. Readiness benchmarks will also reduce statewide variability in levels of preparedness and instill confidence in entities that meet or exceed them. The lack of benchmarks also "suggests endlessly escalating program expenditures, since there is no logical end point to a process whose only goal is to improve from current standing."[9]

Recommendation: Identify readiness benchmarks that state and local emergency response agencies can use to evaluate their level of preparedness.

In order to receive future federal funding and to meet the intent of Homeland Security Presidential Directive (HSPD)-8, National Preparedness, Washington must align its State preparedness strategy with the National Preparedness Goal. The Goal "aims for federal, state, local, and tribal entities to achieve and sustain nationally accepted, risk-based, target levels of capability for prevention, preparedness, response, and recovery for major events, especially terrorism."[10] The target levels of capability are based on National Planning Scenarios,[11] a Universal Task list (UTL),[12] and a Target Capabilities List (TCL).[13]

Some capabilities are universal and should be built and maintained in every jurisdiction. If a capability is needed quickly to save lives or reduce damage, it needs to be available in or near most jurisdictions. Less time sensitive capabilities can be regionalized or centralized. Some capabilities that require teams with specialized training and equipment

should be located in jurisdictions where there are sufficient resources and demand to sustain proficiency, and that can best serve regional needs. The necessity for a given entity to develop specific capabilities is also based on population density, critical infrastructure, and other risk factors[14].

HSI developed a resource to help state and local agencies conduct capabilities-based planning. This Capabilities-Based Planning Instrument, available on HSI's website, allows the user to follow a simple, interactive process to find and assemble information contained in current federal guidance, including the National Preparedness Goal, UTL and TCL.

Recommendation: Work with regions to conduct capability-based planning. Help them to use recent federal guidance, HSI's Capability-Based Planning Instrument, GIS data, risk assessments, and other information to determine what capabilities need to be acquired and maintained by each jurisdiction. Use the outcome to determine training priorities. Provide information about the results to other regions.

[1] States' Regional Terrorism Policy Forums, "Protecting States' Critical Infrastructures" sponsored by the National Governor's Association Center for Best Practices and the National Emergency Management Association, 2000 and 2001.

[2]The Washington Statewide Homeland Security Strategic Plan, Team Washington, A Collaborative Partnership, Interim 2005 Plan.

[3]Region 6 Homeland Security Strategic Plan, Geographic King County, Washington State, Public and Private Organizations, October 2005.

[4]State and Territorial Compliance Activities: Federal Fiscal Year 2006 (Oct. 1, 2005 - Sept. 30, 2006), NIMS Integration Center.

[5]Letter from Homeland Security Secretary Tom Ridge to Governors, September 8, 2004.

[6]Tribal Government and Local Jurisdiction Compliance Activities: Federal Fiscal Year 2006 (Oct. 1, 2005 - Sept. 30, 2006), NIMS Integration Center.

[7]FFY06 NIMS Training Requirements, NIMS Integration Center.

[8]Emergency Responder Guidelines, U.S. Department of Justice, Office of Justice Programs, Office for Domestic Preparedness, August 1, 2002.

[9] "The Problems of Preparedness: Challenges Facing the U.S. Domestic Preparedness Program," Richard A. Falkenrath, ESDP Discussion Paper ESDP-2000-05, John F. Kennedy School of Government, Harvard University, Dec. 2000,

[10]Interim National Preparedness Goal, Homeland Security Presidential Directive 8: National Preparedness, U.S. Department of Homeland Security, March 31, 2005.

[11]Planning Scenarios, Executive Summaries, Created for Use in National, Federal, State, and Local Homeland Security Preparedness Activities, Version 2.0, The Homeland Security Council, David Howe, Senior Director for Response and Planning, July 2004.

[12]Universal Task List: Version 2.1, U.S. Department of Homeland Security, Office of State and Local Government Coordination and Preparedness, May 23, 2005.

[13]Target Capabilities List, Version 1.1, U.S. Department of Homeland Security, Office of State and Local Government Coordination and Preparedness, May 23, 2005.

5 Washington State Responder Credentialing System

This section provides background information and research results on issues related to emergency responder credentialing in Washington State and to offer recommendations to the Committee on Homeland Security for future credentialing efforts, as well as potential criteria for a credentialing system. Smart cards, as well as other potential credentialing system components are discussed in Appendix 3.

Credentialing Process

What do we mean when we say "credential"? Law enforcement personnel call their badge a "credential." Hospitals refer to the process of allowing doctors to practice in their facilities as "credentialing." For the purposes of this discussion, we will be exploring both types of credentials:

- A factor entitling one to confidence, credit, or authority
- Physical evidence attesting to one's credit, confidence, or authority

Credentialing criteria refer to the qualifications and experiences of individuals to perform in a specific profession. The concept of credentialing is being promoted by federal agencies, such as the Office for Domestic Preparedness (ODP), but the lack of generalized standards limits their usefulness on a national basis at this point. A physical credential would likely take the form of an identification card which holds information on the responder who carries it.

Who needs to be credentialed? The Department of Homeland Security (DHS) recognizes a dozen first responder disciplines, as well as volunteers, likely to be involved in the response to any widespread terrorist attack or natural disaster. Many of these paid personnel and volunteers already carry something they would identify as a credential or identification card issued by their jurisdiction or discipline. The challenge is to develop a common or standard credential which would be recognized throughout the region (or, potentially, the entire nation).

The National Incident Management System (NIMS) defines credentialing as "providing documentation that can authenticate and verify the certification and identity of designated incident managers and emergency responders. This system helps ensure that personnel representing various jurisdictional levels and functional disciplines possess a minimum common level of training, currency, experience, physical and mental fitness, and capability for the incident management or emergency responder position they are tasked to fill."

Accurate and rapid tracking of units and individual personnel at a large-scale disaster site is crucial. On-scene commanders need a good handle on WHO is on the scene, with

WHAT certifications, training and capabilities they bring with them, WHEN did they arrive and depart, and WHERE are they located or assigned. Initially, credentialing efforts in the United States have centered on serving as a reflection of certifications and standards achieved by individuals. However, two additional motivations are now cited: Perimeter and scene control, and responder health and safety.

HSI staff had the opportunity to discuss credentialing issues with supervisory personnel who worked the scene in Manhattan and at the Pentagon on 9/11. We have also been able to query federal, state, and local officials who were involved in the response to the Oklahoma City attack in 1995. In Oklahoma, over 28,000 first responders poured into the area in the week following the explosion. Even in this relatively benign environment (no radiation, chemicals, or biohazard), it took emergency managers nearly two weeks to set up an ad hoc credentialing system which would allow them to deploy assets in a systematic and secure fashion. In the face of a WMD incident, or a natural disaster (such as a pandemic flu) where the threat agent both lingers and spreads, the need to control access, deploy self-responders in an effective manner, and manage a wide-area response effort will be much more difficult. Given this threat, an investment in a pre-incident credentialing system may be a wise investment.

As part of HSI's recent Emergency Responder Training Interviews, subjects were asked whether "Standardized training could be used as a basis for credentialing emergency responders. Do you think that credentialing is needed or beneficial? Why?" The great preponderance of respondents believe that credentialing should be a natural outgrowth of setting standards. Interviewees feel a standard, statewide system will enable the assembly of more coherent response teams on a much shorter notice. A few individuals noted that the provision of a physical credential will also prompt many more personnel to complete the requirements within a standard. Beyond its utility in crisis response, a credential is seen as beneficial to individuals seeking portability of certified skills beyond their local jurisdiction, particularly in the case of those looking for new jobs.

Federal Efforts

The NIC is charged with developing systems which:

- Provide uniform certification programs that allow responders to provide mutual aid nationwide
- Ensure the proper identification of emergency responders
- Work in tandem with existing discipline credentialing bodies and states

The federal government has contracted with the Titan Corporation to pursue its credentialing goals. The initial aim is to create a National Emergency Responder Credentialing System which will be used to "routinely identify and dispatch emergency responders." A follow-on aspiration is to document credentialing "through a nationally accepted form of identification and/or through a record-keeping system, as required by NIMS."

The federal government believes a national credentialing system is necessary to:

- Help governments at all levels identify, request, and dispatch qualified emergency responders from other jurisdictions when needed.
- Serve to prevent unauthorized access to an incident site.

The NIC has put together working groups to classify positions which could be credentialed. These groups are tasked with identifying minimum qualifications, certification, licensing, education and training for each job title. Working groups currently active include Emergency Medical Services, Incident Management, Public Works, Fire/HAZMAT, and Search and Rescue.

HSI staff had a dialogue with Ivan Parkinson, Titan Corporation's credentialing project manager. He stated three individuals from Washington State are participating. All of them are a part of the Incident Management Working Group:

- Brian Calvert, Benton County Emergency Management; (509) 628-8471
- Jim Kadrmas, Emergency Management Division (EMD); (253) 512-7027
- Jim Mullen, Director (EMD); (253) 512-7001

Mr. Kadrmas told HSI that the Incident Management group had teleconferenced three times, and met once (Atlanta, 11/05). Thus far, the group has produced a problem statement and identified positions within both Incident Command and Emergency Management, which may need to be credentialed. This effort is in a formative stage. The NIC wants to involve state and local stakeholders in an effort to build the national consensus it feels will be required to include credentialing as an element of the National Mutual Aid and Resource Management Initiative.

Mr. Parkinson related that there is no compendium of state efforts regarding credentialing. He stated the lack of knowledge regarding state and local credentialing projects has presented a challenge for the federal work in this area. HSI staff committed to providing a summary of our research efforts, and the NIC will be provided a copy of this report.

The DHS First Responder Program "plans" to issue credentials to first responders so that the identity card they use in their daily routine can become their crisis identity card when needed. Craig Wilson, (speaking at the Smart Card Alliance Fall 2005 conference) on behalf of the program, stated the ID credentials will be consistent with the new federal government standards that call for smart card technology. The common trusted identity smart card, currently being slowly implemented across the U.S. federal government, directly addresses this issue. During his address, Wilson gave some real life examples of emergency response scenarios where trained personnel were hindered due to a lack of a trusted common identity between federal, state, and local authorities.

The NIC, however, does not plan to actually issue credentials. The federal goal is to construct a framework which state and local jurisdictions can use in their credentialing efforts. While the NIC's goal is to set protocols and standards, it views the issuance of credentials as primarily a state responsibility.

Other States' Efforts

As part of HSI's research effort we studied recent attempts by other states and local jurisdictions to construct credentialing systems. Many jurisdictions are struggling with relevant and pragmatic criteria. DHS has begun its own research efforts, but has yet to offer any guidelines to states.

The most relevant projects which are planned or ongoing include:

Washington DC

Starting in January 2006, about 200,000 first responders in the Washington metropolitan area will receive biometric smart card IDs that will allow secure cooperation at sites where federal as well as state and local first responders are called in. The First Responder Partnership Initiative includes emergency personnel from the City of Washington, Montgomery and Prince George's counties in Maryland, and Arlington, Fairfax and Prince William counties in Virginia. Officials supporting the initiative said they want the program to serve as a model for other regions to enhance cooperation and efficiency between state and local first responders and their federal counterparts. The card will identify first responders and their qualifications at the scene of an incident, allowing them to move into and out of secured areas. It can also serve as a platform for physical access to buildings, access to networks, human resource asset accountability, incident command and control, property/firearms accountability and National Incident Management System integration. The partnership is greatly aided by the high concentration of federal and military personnel in the Washington DC area. The federal government has made tremendous headway, particularly within the military, towards uniform issuance of standardized smart cards.

Maine

HSI staff had a dialogue with members of Maine's Emergency Management Agency (EMA) who have begun some basic credentialing work. EMA has been issuing ID's for several years, beginning with HAZMAT personnel, and now expanding to include other emergency response personnel. Their format is a simple one. On the front of the card is the EMA symbol, along with a picture of the individual, name, title, and agency they work for. NIMS/ICS and HAZMAT-related training is denoted on the front with colored-coded stripes and inset writing describing levels. The back of the card includes information on medical/first aid and fire-fighting training, along with an issue date and an expiration date. There is a signature block for designated chiefs within regional jurisdictions. In support of the card, responders are asked to complete a qualification form which identifies training completed, together with personal information. As opposed to the "smart" cards

described in the First Responder Partnership Initiative (above), Maine's system relies on simplicity.

New Jersey

New Jersey, which has identified nearly 145,000 first responders in-state, recently launched a training and tracking program which relates directly to credentialing efforts. A three-year, $2.5 million contract with GeoLearning Corporation is to provide assessments of individual competencies in security-related skills as well as compilations of detailed student training records on each participant. It also tracks attendance and performance records for a database used by emergency management teams when planning for and responding to disasters. While the project does not call for the provision of a physical credential, it is intended to be employed by emergency managers when responding to disasters. In theory, the system will allow planners to identify and contact responders with needed skills in the geographic proximity of an incident. At the time of this report, New Jersey officials were undecided on pursuing a smart card credential derived from GeoLearning project records.

Illinois

The State of Illinois had ambitious plans in the credentialing arena. The Illinois Terrorism Task Force (ITTF) Annual Report (2003) called for the "development and implementation of a secure credentialing and identification system, beginning with the state and local response teams." Illinois intends to eventually pre-issue smart card credentials to up to 100,000 emergency responders. The credentials will be printed with photo ID. The embedded chip will include fingerprint biometrics, an identity certificate issued by the state, and signed certifications of completed training. The system's components will include a secure web portal which will allow cleared individuals to enroll team members and manage certifications, as well as activate credentials and update data. A card management system will provide for the production and issuance of the smart cards. The field application includes a rugged laptop with a smartcard and fingerprint reader, which will verify identity with a single scan, confirm certifications, and site arrivals and departures. The pilot project calls for the issuing of 5,000 credentials.

New York

Marian Marrocolo, a planner with New York City's Office of Emergency Management (OEM), informed HSI staff that NYC has no **pre**-credentialing system planned or in place. NYC does have a strong **post**-incident system which supports perimeter security and access control. In the wake of the 9/11 attack on the World Trade Center, NYC OEM found the production, distribution, and validation of credentials was a massive, but critical, undertaking. OEM had to quickly develop a system that would produce credentials which are hard to counterfeit and allow those with different clearance levels into appropriate areas. The credential they developed was used in conjunction with an entity-issued identification. NYC was also very supportive of Corporate Emergency Access System (CEAS), a credentialing program developed by the Business Network of Emergency

Resources (BNet) (see below). For NYC, a common, cross-discipline credential does not make sense, as most emergency responders are city employees; within the immediate urban area there are a limited number of discipline-specific credentials being utilized.

Missouri

The St Louis Area Regional Response System (STARRS), an interdisciplinary partnership of eight counties, included the implementation of a "universal ID credential for first responders and healthcare workers", utilizing UASI funds, as part of its 2004 strategy. HSI staff interviewed Margaret Hale, STARRS Deputy Director. Ms Hale informed us that, following several program delays, STARRS will be entering the implementation phase of its credentialing program in January, 2006. The "Universal ID Project" will begin by issuing cards to fire, police and EMS personnel. They hope to extend UASI funding to offer the cards to other emergency response disciplines eventually. Ms Hale referred us to the primary contractor for the project, the Regional Justice Information Service Commission (REJIS). HSI contacted Mr. Paul Newhouse, REJIS General Manager, who shared a great deal of information on the project. He stated that they had conducted a long development phase, in conjunction with user groups, to establish requirements. REJIS then sought out and compared suppliers for project components. The programming phase has now been completed and full production status is expected in February 2006. The card will eventually supplant, not supplement, existing first responder IDs. The card includes a photograph, bar code, and a small section for local jurisdictions to place their own seal or logo. The bar code contains personal demographic data, but most of the data, including certified course completions and skill sets, i.e. languages spoken, is held on the central project server located at REJIS. Information is entered by local jurisdictions. This was done so that the system is not seen as autocratic. An individual's organization makes a decision as to what information is to be shared within the system. It is agreed that whatever data is entered can be shared among first response organizations in the eight-county area. There is still an ongoing discussion as to how long the cards will be valid. This is being driven by security concerns versus costs. Those costs are expected to be "as little as several dollars per card once the system is fully realized" according to Newhouse. There is also continuing discussion about future inclusion of medical information within the system. REJIS has also been asked to study the possibility of leveraging the Universal ID Project to provide temporary IDs to volunteers, and to consider merging data with B-Team software currently being implemented at all eight EOCs in the STARRS area. Mr. Newhouse stated that REJIS would be willing to share lessons learned as they begin to implement the project in 2006.

Responder Health and Safety

In addition to the initial motivations for credentialing efforts, some efforts are now being made to respond to worker health and safety concerns.

Several organizations, including the Center to Protect Workers Rights and the Operating Engineers National HAZMAT Program are piloting “smart” cards containing small chips capable of holding enormous amounts of information about the worker, including all of the training that is current, respirator fit, medical testing information, and security clearance. These credentialing efforts center on worker safety issues.

The report, Protecting Emergency Responders, Volume 3: Safety Management in Disaster and Terrorism Response," from the federal Department of Health and Human Services states that:

“The emergency response community should put in place structures and preparedness efforts that will formalize an integrated, incident-wide approach to safety management at major disaster response operations. Just as a key goal of the ICS is to facilitate integration of many operational assets as the demands of a response operation increase, mechanisms must be available to allow safety management efforts to scale up as well. Effective safety management requires mechanisms to provide for the safety needs of all responders, including any volunteers. Safety management depends on knowing who is operating at the disaster scene and in what capacities. Personnel accountability systems are a source of this information.”

Study discussions with responders suggest that there is broad agreement on the importance of scene control as a safety enforcement strategy. If a hard perimeter can be put in place around a scene and the entry points controlled, crossing the perimeter becomes an opportunity to make certain that all responders entering the scene are informed, trained, and equipped in accordance with the response safety procedures. Responders who are not in compliance can be identified and denied access to the scene.

Credentialing Recommendations

In order to achieve any meaningful advance beyond current, jurisdiction/organization-based ID systems, any Washington State credential which is developed should be based on shared, perhaps mandated, cross-discipline standards. HSI believes that the place to begin a statewide conversation on credentialing is with the more difficult discussion of barriers to the creation of training standards.

If we are able to agree on specific standards, a common credential could then follow. Our challenge is to develop a scalable system which has hardened components and which can operate under difficult conditions. In order to be cost-effective and sustainable, system components must also serve a day-to-day purpose for emergency responders at all levels. The State-issued credential would have to supplant or be incorporated into

local ID's, otherwise individuals would need to carry multiple cards, and, inevitably the State credential would be left at home on the one day it is needed.

There is no lack of private providers willing to supply systems and components to meet this perceived requirement. If HSI were asked to make a specific recommendation on an existing provider, we would recommend an examination of systems currently being offered by GeoLearning. The State of New Jersey (see above), as well as the Department of Homeland Security, have contracted with GeoLearning to construct and administer learning management systems (LMS) which may support cross-discipline credentialing in the future. In Washington State, the Department of Health and the Department of Personnel have both entered into agreements with GeoLearning for LMS systems to support training for their staffs. The difficult part of any credentialing "system" is the construction and maintenance of a training and standards tracking system, which is what GeoLearning provides. Introduction of a SMART card and an on-site reader system can easily be acquired if a certification system is extant.

With enough time and resource, a cross-disciplinary credentialing system could be constructed in Washington State. However, given current conditions (growing apathy concerning homeland security in the absence of domestic follow-on attacks to 9/11; lack of centralized authority in a "home rule" state; diminishing funding for preparedness projects) we believe a rational cost-benefit analysis would preclude any major immediate investment in a credentialing system. In the absence of any precise guidelines, or even general protocols from the Department of Homeland Security it would be difficult to achieve any high degree of confidence that any current effort on the State's part would mesh with a future national effort.

There are, however, some steps which could be taken now. Specifically, the Homeland Security Institute recommends:

Recommendation: Creation of a disappearing task force (DTF) of State identification system experts, emergency managers, and first response personnel, tasked with studying credentials currently being utilized by local jurisdictions in Washington, with a goal of recommending a common format and standard. Using this report as a starting point, the DTF will present their findings to the Committee for Homeland Security. Given clear direction, and enough time, a State credential could be established through adoption of uniform standards for individual identification cards (issued locally) across all of the emergency response disciplines.

Recommendation: Key personnel from within the State should remain active participants in the NIMS Integration Center working group for the National Emergency Responder Credentialing System.

Recommendation: The State can aggressively pursue competitive grant funding (separate from existing formula-grant resource) which would support a credentialing pilot project.

Recommendation: Lessons learned can be compiled from other states which are attempting to put together credentialing systems. HSI cannot currently recommend any single ongoing effort as a template for Washington's plan. The First Responder Partnership Initiative, covering the Washington DC region, should be closely monitored as it begins its implementation phase in 2006.

Recommendation: The Emergency Management Council should adopt recommended State training standards, upon which a credentialing system could begin to be established.

Criteria for any future Washington State Emergency Responder Credentialing System should include consideration of:

- The setting of cross-discipline standards as a baseline to ensure reasonable levels of both quality and uniformity are met.

- An ability to seamlessly merge with any future National Emergency Responder Credentialing System.

- Creation of a State registry of certified individuals, including course completions, contact information, and certifications. HSI has constructed a database of certified homeland security trainers based on input from the State Emergency Management Division as well as regional and county emergency managers.

- Utilization of proven SMART card technology and robust on-scene readers in the provision of any physical system components.

- Incorporation of current discipline-specific certification efforts to ensure these programs are complimentary to cross-discipline credentialing.

TRAINING OVERSIGHT

Assessment and Targeting

A statewide training assessment and monitoring process needs to be implemented for all response disciplines. This will allow the State's level of preparedness to be known and training to be marketed and targeted to those who need it.

In June 2005, the Washington Emergency Management Division conducted a survey of over 40 state, local, and tribal emergency response organizations. More than 79% of the respondents will benefit from **a central organization for overseeing homeland security training statewide.** Such an organization would be responsible for identifying and filling training gaps.[1]

Recommendation: Utilize HSI or another organization to coordinate homeland security training statewide. Expand their mission to all-hazards training. Charge them with identifying, monitoring, and filling training gaps.

Recommendation: Develop and implement a marketing program that targets small and volunteer departments, supporting disciplines, and training programs which are struggling.

Information and Resource Availability

During the State Gap Analysis, many responders expressed concern about the level of training achieved by other organizations and professions. Uncertainties were commonly raised about the competence of other agencies from home jurisdictions, different areas of the State, and supporting disciplines. In particular they questioned the readiness of small or volunteer departments or supporting disciplines.

Responder safety depends on their confidence in those working with them and supporting them on-scene. It is imperative to document and publicize training accomplishments throughout the State in a way that allows responders to know what training has been received by other agencies, disciplines or jurisdictions.

Emergency responders need a single, centralized statewide source for training resources and information. During the State Gap Analysis, more than 80% of the respondents said that they will benefit from *one statewide source for training needs*. Examples of such needs included a database of qualified trainers and statewide training schedules.

A centralized system for tracking certified trainers promotes resource sharing, avoids duplication of efforts and minimizes confusion. It also helps trainers to target resources toward capacity shortfalls. HSI has developed a database of homeland security trainers available statewide. The database will continue to expand as additional emergency responder training needs are identified. HSI's database is designed to:

- Share training resources between jurisdictions
- Identify gaps in training delivery and assess courses (online, blended, classroom) for effectiveness
- Coordinate updated curriculum for trainers
- Track training being provided
- Provide for federal reports tied to ongoing funding

Recommendation: Continue to support a State website that provides training information, a trainer database, statewide training schedules and other resources. Expand it to include information about the level of training achieved statewide. Include a forum for responders to present needs assessments, best practices, success stories, and training accomplishments.

Recommendation: Publish an annual report that describes the status of training statewide, presents preparedness goals, and provides a plan for meeting training needs and filling gaps in the coming year.

[1] Homeland Security Training Survey, Washington State Emergency Management Division, June 2005.

Training Content, Delivery, and Evaluation

Content

First-rate training content is a crucial element to how well skills and knowledge are learned and remembered. All training must be realistic and relevant. The most difficult aspect of developing competency is relating the skills and knowledge obtained through training to the situations encountered "in real life."

Incorporating real-life scenarios, case studies and recent examples helps participants to learn and remember how to apply what they know. Simulations and exercises promote the use of judgment and decision making.

In all cases, training is most effective when it is tailored to the targeted audience and reflects local issues and experiences. Ideally, training should promote participant interaction as much as possible.

The State Gap Analysis revealed that most of Washington's responders need to know more about other disciplines' roles and responsibilities, interagency and interjurisdictional relationships, where they fit in, and what is expected from them during complex incidents.

Recommendation: Provide NIMS/ICS training that is State-tailored and clarifies roles and responsibilities during complex incidents.

Recommendation: Develop State-specific, canned scenarios that can be tailored by local jurisdictions. Design them to incorporate all disciplines and require participants to develop incident management structures, which reflect local authorities and resources.

Recommendation: Develop training that describes the roles and responsibilities of various response disciplines and incorporates recent case studies and scenarios to illustrate on-scene relationships.

Recommendation: Incorporate panel discussions and presentations from other disciplines into conference/workshop agendas.

Recommendation: Encourage supporting disciplines to identify and assign a training officer who is responsible for representing them on training/exercise design committees and serves a contact for other agencies for clarifying roles/expectations.

Recommendation: Design training from the perspective of specific audiences. For example, train line staff on internal chain-of-command protocols and provide them with an overview of the external chain of command followed by their supervisor/management.

Recommendation: Direct HSI to identify online courses which have been developed by other states and approved by ODP. HSI will negotiate with developers to host these courses as part of its existing online structure.

Delivery

Responders unquestionably have constrained time and budgets. Many jurisdictions do not have sufficient personnel to allow staff to be spared from operations to train. Many responders train on overtime, which can be an added expense to the organization. Furthermore, the absence of personnel for training often means fewer personnel available for response, and thus, decreased readiness.

In particular, responders from rural jurisdictions, tribes, small departments, and volunteer agencies have limited time, funding, and resources to attend training, especially if travel is involved.

Recommendation: Create 15-minute learning modules for concise training (refresher and core training).

Recommendation: Tailor training courses, materials, and delivery/distribution for hard to reach audiences and training programs in trouble.

Recommendation: Configure training and training materials into manageable blocks of time.

Recommendation: Create State-specific refresher training, using short bursts of quality, current material. Make the training available though multiple delivery modes.

Recommendation: Structure training in ½ day modules.

Generally, responders prefer classroom training, but cannot rely in it for all their needs. While classroom training is superior for providing a forum for interacting with others, it is not an ideal method for training a geographically dispersed audience with limited time, funding and resources. In addition, classroom training is inefficient for providing training rapidly and/or on information that is constantly changing.

Online training offers advantages in terms of cost and flexibility, but needs to be improved in terms of media, such as by injecting stimulating technology, using video and sound, building in simulations, and incorporating more graphics.

Recommendation: Provide refresher and core training using multiple modes of delivery/distribution such as classroom, online training, CDs, DVDs, videos, video-conferencing (archived and for on demand viewing), government cable channels and, satellite downlink conferencing.

Recommendation: Use online training to supplement classroom teaching and train-the-trainer programs and exercises. For example, all of the participants in a mass decontamination exercise would be tasked with completing (or testing out of) a two-hour mass decon online course, before being allowed to participate.

Recommendation: Develop or procure high tech, game/simulation online training. Enlist input from Washington companies, like Nintendo and Microsoft, to create realistic scenarios which allow responders to make on-scene decisions.

Training Materials and Course Evaluation

Most training materials do not supplement responder training well. Typically, they present out of date information that does not represent local issues or experiences. The materials are often difficult to understand and are not organized, formatted or constructed to maximize their use as training aids or resources.

Washington responders consider course evaluation critical for substantiating that the material has been learned and to provide student and instructor feedback. They also believe tests used to evaluate training need to be better designed and written.

Recommendation: Establish a trainer working group to develop recommendations for training materials and course evaluation.

Recommendation: Use a State Master Trainer Program to educate trainers on best practices for designing performance assessments, delivery, tests and training materials.

Summary of Recommendations

Implementing Training Standards

1. Recommendation: Continue to uphold NIMS/ICS as a Washington State Standard. Expand the requisite training as required by federal guidance. Monitor the extent of training, identify training gaps, and target resources to where they are most needed. Ensure that refresher training is available and provided to support the current investment.

2. Recommendation: Expand HSI's trainer database to include Washington's NIMS/ICS trainers.

3. Recommendation: Promote HSI's ODP- approved online NIMS course (equivalent to IS 700) to ensure responders receive State-tailored training and allow completions to be tracked.

Awareness-Level Training

4. Recommendation: In addition to NIMS/ICS, the Emergency Management Council should adopt a statewide, awareness-level, cross-disciplinary, training standard. Ensure that the standard complies with current federal guidance such as the Department of Justice's "Emergency Responder Guidelines" and includes training on the roles and responsibilities of emergency response disciplines.

Develop criteria for who needs to achieve the standard and evaluate the viability of using a mandate, funding or some other means to encourage participation.

Monitor the extent of awareness-level training, identify training gaps, and target resources to where they are most needed. Ensure that refresher training is available and provided to support the current investment.

Tracking Trained Responders

5. Recommendation: Develop a statewide system for tracking responders who have met the State's NIMS/ICS and awareness-level standards. Use the information as the basis for credentialing, to monitor statewide preparedness, and document compliance with national preparedness goals.

Readiness Benchmarks

6. Recommendation: Identify readiness benchmarks that state and local emergency response agencies can use to evaluate their level of preparedness.

7. Recommendation: Work with regions to conduct capability-based planning. Help them to use recent federal guidance, HSI's Capability-Based Planning Instrument, GIS data, risk assessments, and other information to determine what capabilities need to be acquired and maintained by each jurisdiction. Use the outcome to determine training priorities. Provide information about the results to other regions.

Credentialing System

8. Recommendation: Creation of a disappearing task force (DTF) of State identification system experts, emergency managers, and first response personnel, tasked with studying credentials currently being utilized by local jurisdictions in Washington, with a goal of recommending a common format and standard. Using this report as a starting point, the DTF will present their findings to the Committee for Homeland Security. Given clear direction, and enough time, a State credential could be established through adoption of uniform standards for individual identification cards (issued locally) across all of the emergency response disciplines.

9. Recommendation: Key personnel from within the State should remain active participants in the NIMS Integration Center working group for the National Emergency Responder Credentialing System.

10. Recommendation: The State can aggressively pursue competitive grant funding (separate from existing formula-grant resource) which would support a credentialing pilot project.

11. Recommendation: Lessons learned can be compiled from other states which are attempting to put together credentialing systems. HSI cannot currently

recommend any single ongoing effort as a template for Washington's plan. The First Responder Partnership Initiative, covering the Washington DC region, should be closely monitored as it begins its implementation phase in 2006.

12. Recommendation: The Emergency Management Council should adopt recommended State training standards, upon which a credentialing system could begin to be established.

Training Assessment and Targeting

13. Recommendation: Utilize HSI or another organization to coordinate homeland security training statewide. Expand their mission to all-hazards training. Charge them with identifying, monitoring, and filling training gaps.

14. Recommendation: Develop and implement a marketing program that targets small and volunteer departments, supporting disciplines, and training programs which are struggling.

Information and Resource Availability

15. Recommendation: Continue to support a State website that provides training information, a trainer database, statewide training schedules and other resources. Expand it to include information about the level of training achieved statewide. Include a forum for responders to present needs assessments, best practices, success stories, and training accomplishments.

16. Recommendation: Publish an annual report that describes the status of training statewide, presents preparedness goals, and provides a plan for meeting training needs and filling gaps in the coming year.

Content

17. Recommendation: Provide NIMS/ICS training that is State-tailored and clarifies roles and responsibilities during complex incidents.

18. Recommendation: Develop State-specific, canned scenarios that can be tailored by local jurisdictions. Design them to incorporate all disciplines and require participants to develop incident management structures, which reflect local authorities and resources.

19. Recommendation: Develop training that describes the roles and responsibilities of various response disciplines and incorporates recent case studies and scenarios to illustrate on-scene relationships.

20. Recommendation: Incorporate panel discussions and presentations from other disciplines into conference/workshop agendas.

21. Recommendation: Encourage supporting disciplines to identify and assign a training officer who is responsible for representing them on training/exercise design committees and serves a contact for other agencies for clarifying roles/expectations.

22. Recommendation: Design training from the perspective of specific audiences. For example, train line staff on internal chain-of-command protocols and provide them with an overview of the external chain of command followed by their supervisor/management.

23. Recommendation: Direct HSI to identify online courses which have been developed by other states and approved by ODP. HSI will negotiate with developers to host these courses as part of its existing online structure.

Delivery

24. Recommendation: Create 15-minute learning modules for concise training (refresher and core training).

25. Recommendation: Tailor training courses, materials, and delivery/distribution for hard to reach audiences and training programs in trouble.

26. Recommendation: Configure training and training materials into manageable blocks of time.

27. Recommendation: Create State-specific refresher training, using short bursts of quality, current material. Make the training available though multiple delivery modes.

28. Recommendation: Structure training in ½ day modules.

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mass decontamination exercise would be tasked with completing (or testing out of) a two-hour mass decon online course, before being allowed to participate.

31. Recommendation: Develop or procure high tech, game/simulation online training. Enlist input from Washington companies, like Nintendo and Microsoft, to create realistic scenarios which allow responders to make on-scene decisions.

Training Materials and Course Evaluation

32. Recommendation: Establish a trainer working group to develop recommendations for training materials and course evaluation.

33. Recommendation: Use a State Master Trainer Program to educate trainers on best practices for designing performance assessments, delivery, tests and training materials.

Appendices

APPENDIX 1

The Federal Role In Homeland Security Training

The Dawn of Anti-Terrorism Training

As our nation reacted to the 1993 bombing of the World Trade Center in New York, the 1995 bombing of the Alfred P. Murrah Federal Building in Oklahoma City and, shortly thereafter, the release of sarin nerve gas in the Tokyo subway, there was a feeling of urgency to prepare for the potential of mass casualty terrorism.

At that time, most emergency responders were not trained to recognize or respond to a terrorist attack. Likewise, the majority of local hazmat teams were not prepared to enter a scene where weapons of mass destruction (WMD) had been deployed. These teams were largely trained to respond to accidents involving the release of industrial chemicals. At most, they anticipated decontaminating their team members and maybe, a handful of potential victims.

Similarly, prior to 1995, hospital personnel had little or no training for responding to terrorist attacks, especially those involving mass casualties or bioterrorism. Most medical personnel were not well-informed about recognizing symptoms of bioterrorism disease, preventing medical facilities from becoming contaminated or distributing mass prophylaxis. The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), which sets national standards for hospital care, only required hospitals to have the ability to decontaminate a single person.

Senators Nunn, Lugar and Domenici recognized the need to improve local government's ability to respond to mass casualty terrorism and cosponsored the Defense Against Weapons of Mass Destruction Act of 1996. This legislation tasked the Department of Defense with training responders in the nation's 120 largest cities by population, including Seattle, about chemical and biological agent detection, monitoring, protective measures and decontamination protocols. The Nunn-Lugar-Domenici (NLD) Act provided funding for equipment, training, and exercises to each of the 120 cities to achieve this goal. In 2000, President Clinton transferred the responsibility for the NLD training mission from the Department of Defense to the Department of Justice, Office of Justice Programs' Office for Domestic Preparedness (ODP).

Also in 1996, the Department of Health and Human Services created the Metropolitan Medical Response System (MMRS) to improve the nation's medical response to terrorist attacks. The MMRS started with two cities and has grown to 125, including Seattle, Tacoma, and Spokane. While NLD training was directed towards the traditional emergency responder (i.e., law enforcement and firefighters), the MMRS concentrated on the medical community, often focusing on preparing a specialized group to respond medically to an attack involving chemical, biological, radiological, nuclear or explosive (CBRNE) materials.

The Surge in Federal Funding

During the four years that followed, annual federal spending on terrorism almost doubled, from $5.7 billion in FY1996 to $10 billion in FY2000. Budgetary increases for key individual agencies were even more pronounced. Only $7 million was allocated to the Department of Health and Human Services (DHHS) in 1996 for its bioterrorism initiatives. By comparison, $230 million was requested for DHHS programs in FY2000, an increase of more than 3,000 percent.[1]

The Office of Justice Programs in the Department of Justice experienced an equally profound increase in its resources to support state and local domestic preparedness programs. These activities had a zero budget line in FY1997. They received a budgetary allocation of $21 million in FY1998, followed by $120 million in FY1999, almost a fivefold increase. The Office's budget request for FY2000 was $162 million.[1]

The Terrorist Attacks of September 11, 2001

While the 1993 attack on the World Trade Center and 1995 bombing in Oklahoma City awakened the nation to the potential threat of terrorism, the attacks on September 11th clearly demonstrated that the United States is vulnerable to mass-scale, foreign attacks on its own soil. The anthrax attacks that took place during ensuing months marked the first fatal use of a biological weapon in the United States.

The September 11th attacks caused emergency personnel to respond to incidents with a new perspective. At the World Trade Center, 450 emergency responders perished while responding to the terrorist attacks—about one-sixth of the total number of victims. Hundreds more were seriously injured. What's worse, these attacks, as horrific as they were in terms of the loss of human life and suffering, did not represent the worst-case scenario that many policymakers, government officials, and scholars believed was possible, either in terms of the number of casualties or in the use of unconventional weapons.

As the nation's paradigm shifted from "if there is a terrorist attack" to "when the next attack occurs", government, the private sector, volunteers, and citizens drew together with a renewed determination to be better able to recognize, prevent, and respond to future attacks. Throughout the country, emergency responders pursued incident command/management, WMD awareness, and WMD response training.

Nationwide surveys conducted by the Gilmore Commission pre- and post-9/11 show that the percentage of personnel trained in incident command/management and WMD awareness or response increased for most emergency response disciplines during the year that followed the attacks.[2]

Mean Percent of Personnel Trained in Incident Command / Management and in WMD Awareness or Response Before and After 9/11

	Incident Command / Management		WMD Awareness or Response	
Local Organizations	**Before 9/11 (Mean Percent)**	**After 9/11 (Mean Percent)**	**Before 9/11 (Mean Percent)**	**After 9/11 (Mean Percent)**
Public Health	---	29%	13%	41%
Law Enforcement	21%	31%	7%	30%
Emergency Management	75%	68%	38%	40%
Paid/Combo Fire Depts.	73%	85%	29%	47%
Volunteer Fire Depts.	58%	57%	6%	29%
Hospitals	23%	36%	5%	33%
Local/Regional EMS	47%	52%	27%	37%
State Organizations				
Emergency Management	73%	59%	50%	61%
EMS	36%	48%	25%	63%
Public Health	21%	41%	48%	65%

By December 2002, between 29 and 85 percent of local organizations' personnel had received incident command/management training and 29 to 47 percent WMD awareness or response training. Generally, emergency management offices and fire departments had the highest percentages. Conversely, local law enforcement agencies continued to have one of the greatest needs for training.

State organizations showed similar increases in WMD awareness and response training, although they had higher beginning and ending percentages. On average, two-thirds of state organizations' personnel had received training in WMD awareness or response by December 2002. State emergency medical services agencies showed the largest increase from an average of 25 percent pre-9/11 to 63 percent post 9/11. With the exception of emergency management offices, there were also increases at the state-level in the percentage of personnel who had received training on incident command/management. In all cases, there may have been wide variation in terms of the type and extent of training taken by the responders.

Federal Terrorism Training

During the year following the September 11th attacks, federal officials and others examined the existing federal system of terrorism-oriented training. At the request of the House and Senate Appropriations Committees, FEMA conducted an assessment of federal terrorism preparedness training. According to their April 2002 report,[3] federal officials and training participants agreed that the training was on the whole, effective. However, officials from all levels of government identified several shortcomings. These included:

- Lack of information on course content, registration, and other factors
- Overlaps in training curricula of different agencies
- Insufficient quantity of courses
- Lack of consistent operational standards and competencies
- Not all training needs addressed (such as training to use response equipment and crisis counseling for disaster victims)
- Costly travel requirements

Studies by the U.S. General Accounting Office[4] and the Gilmore Commission[5] came to similar conclusions. Regarding the quantity of courses, a December 2002 news report on training opportunities also concluded that demand by first responders for training far exceeded the available course offerings. [6]

In addition to these concerns, there was considerable debate among policymakers about the focus of federal terrorism preparedness training. Some argued that terrorist attacks must be treated as criminal acts, and thus, responders should be taught selected law enforcement techniques. The Justice Department's Office for Domestic Preparedness (ODP) provided that kind of training focus. On the other hand, the Bush Administration along with some others believed that training for terrorist attacks should not involve law enforcement techniques, which could detract from the rescue mission of some responders. FEMA Director Joe Allbaugh stated that as FEMA sought to enhance its training programs, it would not incorporate law enforcement techniques. [7]

The Department for Homeland Security endeavored to transform a disparate group of agencies with multiple missions, values and cultures into a strong and effective cabinet department that would, among other things, protect U.S. borders, improve intelligence and information sharing, and prevent and respond to potential terrorist attacks.

GAO, January 18, 2003 [8]

The Department of Homeland Security

In an effort to increase homeland security, President Bush issued the National Strategy for Homeland Security in July 2002 and signed legislation creating the Department of Homeland Security (DHS) in November 2002. The National Strategy proposed the development of a national training and evaluation system to be administered by DHS. DHS was to provide oversight for the expansion of

existing training resources, development of national training standards, and regular evaluation of the effectiveness of federal training programs.

The Department for Homeland Security began operations in March 2003. It combined 22 federal agencies with an estimated 170,000 employees into a single department. The intent of this massive reorganization was to centralize and coordinate leadership for homeland security activities, including training.

The mission of DHS to secure the nation from terrorist attacks gave it primary federal responsibility for providing anti-terrorism training to federal, state, and local emergency responders. Unfortunately, DHS's original structure left the responsibility for delivering training, training grants and technical support in several parts of the organization.

> *"I am perplexed, along with many of my colleagues, about the apparently overlapping roles of the EP&R Directorate and the Office for Domestic Preparedness. This division…looks like a recipe for duplication of efforts – or worse, crucial tasks falling through the cracks. In addition, it seems to be breeding unnecessary confusion at the State and local level, at the very time we should be ensuring a clear direction and streamlined system for information-sharing, technical guidance, and funding assistance."*
>
> *U.S. Representative James Langevin, June 19, 2003* [9]

FEMA was integrated into the Directorate for Emergency Preparedness and Response (EP&R). Its primary tasks included developing and managing a national training and evaluation system to design curriculums, set standards, and evaluate local, state, and federal training efforts. The Directorate EP&R issued some grants directly to state and local fire departments and offered training through facilities such as the Emergency Management Institute and the Noble Training Center.

ODP was transferred to the Directorate of Border and Transportation Security. ODP's primary tasks included providing state and local governments and emergency responders with grants, training, and technical assistance to improve their readiness for terrorism incidents. ODP offered training courses using DHS institutions, such as the Federal Law Enforcement Training Center (FLETC), and through training partners that included the National Domestic Preparedness Consortium, the Training and Data Exchange Group (TRADE), federal departments, and private and professional organizations.

DHS also established the Office of State and Local Government Coordination (SLGC) as a stand alone agency to coordinate activities with state and local governments, assess their needs, and provide them with information, research, and technical support. SLGC was the principal liaison to state and local officials, but did not administer grant programs or training.

DHS's lack of a single oversight office for training-related efforts created problems with interdepartmental coordination, performance accountability, and fiscal accountability. It also led to duplication of training efforts and confusion among state and local officials. [10]

This situation was further exacerbated by the profusion of federal agencies outside of DHS delivering homeland security training. Foremost among these were the Departments of Defense, Energy, Health and Human Services, and Transportation and the Environmental Protection Agency. Most of these federal departments and agencies provided training in conjunction with private and public educational institutions, federal laboratories, and federal research and development centers.

Making ODP the Focal Point

On January 26, 2004, former DHS Secretary Tom Ridge informed Congress of his intention to "consolidate numerous federal preparedness initiatives into a single, streamlined, comprehensive program." The basis for this consolidation was the need to establish a "one-stop-shop", within DHS, for state and local governments. [11]

Secretary Ridge combined ODP, SLGC, and a number of grant programs and functions from other DHS components under a new DHS agency, the Office of State and Local Government Coordination and Preparedness (SLGCP). The director of ODP was made the executive director of this new office and reported directly to the Secretary of Homeland Security. Within SLGCP, ODP continued to have program management and monitoring responsibilities for grants, technical assistance, training and exercises.

A New Directorate for Preparedness

In July 2005, following a strategic review of operations, policies and structures, DHS Secretary Michael Chertoff announced another realignment of the Department's organization. This realignment included creating a new Preparedness Directorate that consolidated preparedness assets from across DHS. The current Directorate is headed by a new Under Secretary for Preparedness, and includes the preparedness components of FEMA and the Infrastructure Protection portion of the Information Analysis and Infrastructure Protection Division. Also within the Preparedness Directorate, the core components of ODP report to an Assistant Secretary for Grants and Training. [12]

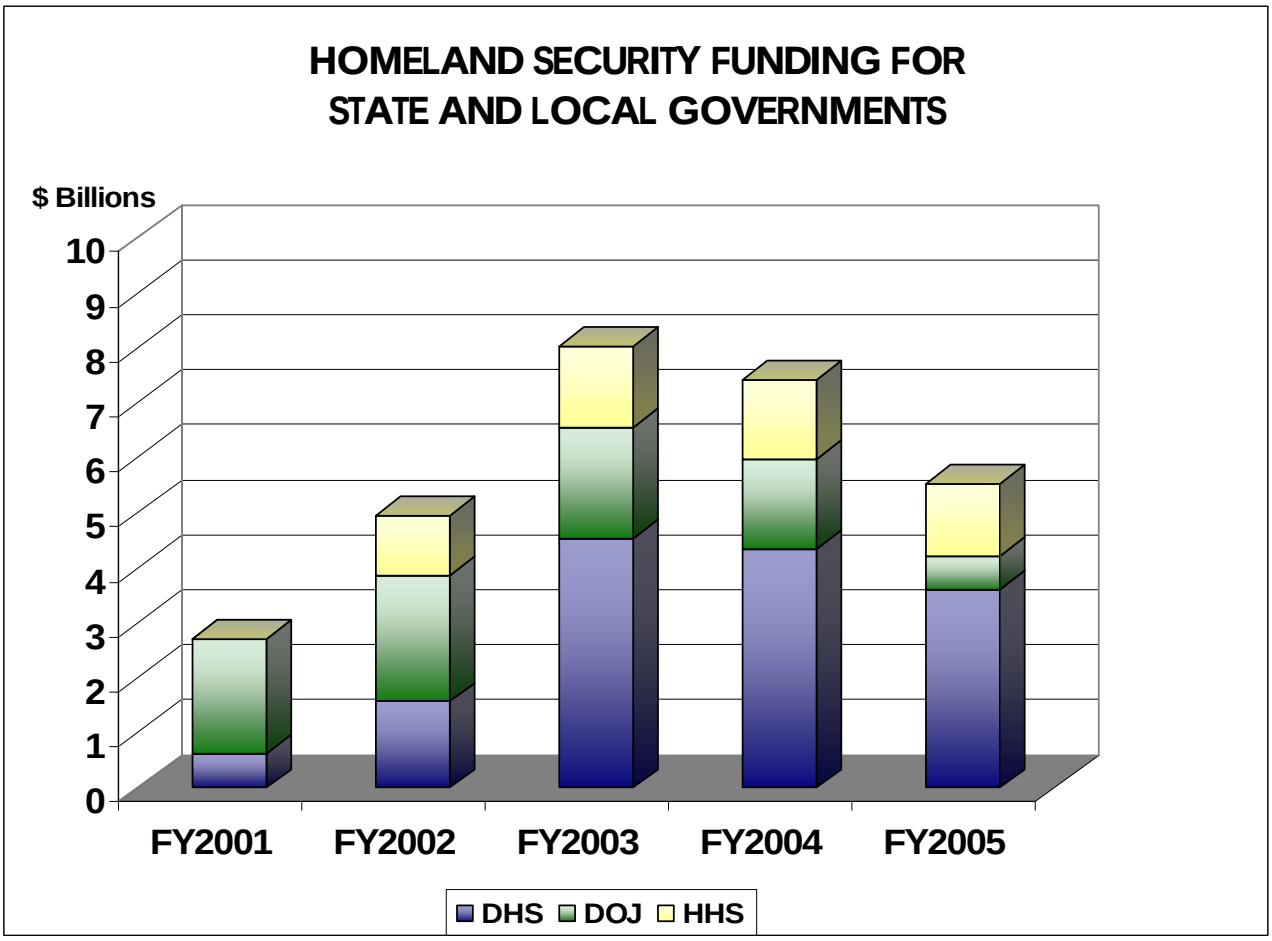
The Directorate for Preparedness facilitates grants and oversees nationwide preparedness efforts supporting first responder training, citizen awareness, public health, infrastructure and cyber security, and ensures proper steps are taken to protect high-risk targets. The new Directorate also includes a new Assistant Secretary for Cyber Security and Telecommunications; a new Chief Medical Officer responsible for bioterrorism preparedness; a new Assistant Secretary for Infrastructure Protection; and the Office of National Capitol Region Coordination.

Federal Funding

The September 11th attacks revealed gaps in the ability of local officials to respond to terrorist attacks on major urban cities. In response, Congress moved to appropriate funding to assist state and local governments with homeland security activities. Some of the congressionally authorized programs were specifically designed to assist responders with preparing for terrorist attacks. Others were general assistance programs that states and localities could use for terrorism preparedness.

Most of the assistance programs were administered by DHS. However, other agencies, including the Departments of Defense (DOD), Energy (DOE), Justice (DOJ), and Health and Human Services (DHHS), also administered programs that provided help in a variety of forms, including grants, training, technical assistance, equipment, and exercises.

Federal funding for programs administered by DHS, DOJ, and DHHS for fiscal years 2001 to 2005 is shown on the following graph. [13]



A significant portion of federal funding was directed to emergency responder grant programs that included training as an eligible activity. Some of these programs and their budgets are shown below for the period between FY2002 and FY2005. [13]

Agency	Program	FY 01	FY 02	FY 03	FY 04	FY 05	Total
DHS							
	State Homeland Security Grant Program	97	315.7	1866	1694.9	700	4673.6
	Urban Area Security Initiative	21	2.6	800	720.7	1200	2744.3
	Critical Infrastructure Protection	X	X	200	0	200	400
	Citizen Corps	X	25	30	39.8	50	144.8
	Law Enforcement Terrorism Prevention	X	X	X	497.2	500	997.2
	Assistance to Firefighters Program	100	360	750	745.6	500	2455.6
	Emergency Management Performance Grants	270	135	165	180	170	920
	Emergency Management Performance Account (includes funding for Urban Search and Rescue, Emergency Operations Centers and Interoperable Communications)	X	345	278.1	60	60	743.1
	Metropolitan Medical Response System	17.4	21.8	50	50	0	139.2
	National Disaster Medical System	7.1	33.1	33.3	34	34	141.5
	Other (technical assistance, training, research)	103	333.2	358.3	315.2	198.9	1308.6
	DHS Subtotal	615.5	1571.4	4530.7	4337.4	3612.9	**$14,668**
DOJ							
	Local Law Enforcement Block Grant	523	400	400	225	X	1548
	Byrne Memorial formula Program	570	845.5	650.9	659	X	2725.4
	Community-Oriented Policing Services (COPS)	1000	1050.4	983.7	756	97	3887.1
	Justice Assistance Grants	X	X	X	X	509	509
	DOJ Subtotal	2093	2295.9	2034.6	1640	606	**$8,670**
HHS							
	Bioterrorism Preparedness (State and local capacity)	X	940	940	934	829	3643
	Bioterrorism Hospital Preparedness	X	135	515	515	476	1641
	HHS Subtotal	0	1075	1455	1449	1305	**$5,284**
	Grand Total (in millions)	2708.5	4942.3	8020.3	7426.4	5523.9	**$28,621**

FY 2006 Funding

President George W. Bush's FY2006 budget request included a total of 41.1 billion for DHS, of which 3.6 billion is slated for grants, training, and technical assistance administered by SLGCP. Additionally, $20.5 million was budgeted for the Office of Interoperability and Compatibility (OIC), within the Science and Technology Directorate. The OIC is leading a nationwide effort to achieve interoperable communications among all first responder agencies. OIC has currently identified training as one of their three program areas. OIC intends to plan and begin to establish their training program with their FY2006 funding. [14]

In October 2005, Congress appropriated 2.5 billion for state and local programs, including 550 million for formula-based grants, 400 million for law enforcement terrorism prevention grants, and 1.15 billion for discretionary grants, as determined by Homeland Security Secretary Michael Chertoff Congress' intent for permitting Secretary Chertoff discretion, was to allow more funding to be distributed on the basis of risk. [15]

Based on their actions, in FY2006, 84% of the money from the three largest grant programs run by DHS will be distributed based on risk, compared to 42% in FY2005. [16] In the past, the State Homeland Security Grant Program and the Law Enforcement Terrorism Prevention block grant, awarded a base amount of 0.75 percent to each state and territory, and distributed the remainder of their grant funding according to population. But this coming year, each state will still receive the minimum base amount, with the remaining funds to be distributed at the discretion of Homeland Security Secretary Michael Chertoff, i.e. to be allocated on the basis of risk.

The third of the three largest grant programs, the Urban Areas Security Initiative (UASI) already operates on the basis of a risk-based formula. DHS grant guidance for FY2006 states that the funding formula to be used this year "builds upon" the UASI formula, "incorporating suggested improvements and lessons learned."

The Department's grant guidelines define risk as the "the product of three principal variables: the consequences of a specified attack to a particular asset; the vulnerability of that asset to that particular threat; (and the) threat to that asset." They also state that a localities "total terrorism risk score" is a combination of asset-based risk and geographically-based risk.

"Asset-based risk utilizes threat values derived from Intelligence Community assessments of the intent and capability of adversaries to accomplish a set of baseline attack modes. These threats and attack types are mapped against specific infrastructure types (e.g. bridges, dams, and chemical plants)".

"Geographically-based risk takes into account values that are based on the inherent attributes of the geographical candidate (i.e. state or urban area). This analysis takes into account factors such as international borders, terrorism-related reporting and investigations, and population density."

DHS's new grant guidelines also add the concept of "need" to that of risk. Need is defined as the gap between a state's capacity to respond to a major event, and that required by the National Preparedness Goal.

National Initiatives

The following section provides background information on key national preparedness initiatives that relate directly to training. Much of the information was taken from the 2005 Program Guidance for the Assistance to Firefighters Grant Program[17], NIMS Integration Center guidance documents[18], and ODP fact sheets[19].

National Incident Management System (NIMS)

Issued on March 1, 2004, NIMS provides a consistent framework for incident management at all jurisdictional levels. Building on the Incident Command System (ICS), the NIMS provides the nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters and other emergencies.

On September 8, 2004, Secretary Ridge issued a letter to governors outlining the requirements for implementing the NIMS in FY05. The NIMS Integration Center (NIC) is working with federal departments and agencies to ensure that they develop a plan to adopt NIMS and that all FY05 federal preparedness assistance program documents begin the process of addressing state, territorial, tribal, and local NIMS implementation.

States, territories, tribes, and local entities were encouraged to achieve full NIMS implementation during FY2005. To receive FY2006 preparedness grant funds from any federal department or agency, states have to self-certify that they have met the minimum FY2005 requirements. Beginning in FY2007, all federal preparedness funding will be conditioned upon full compliance with the NIMS. States are tasked with working with tribal and local governments to develop a strategy for statewide compliance with the NIMS.

NIMS Compliance Activities to be accomplished in FY2005 include:

States and Territories

- Incorporate NIMS into existing training programs and exercises;
- Ensure that federal preparedness funding supports state, local and tribal NIMS implementation;
- Incorporate NIMS into Emergency Operations Plans;
- Promote intrastate mutual aid agreements;
- Coordinate and provide NIMS technical assistance to local entities; and
- Institutionalize the use of the Incident Command System.

State, Territorial, Local and Tribal Jurisdictions

- Complete the NIMS Awareness Course: "National Incident Management System (NIMS), An Introduction" IS 700.
- Formally recognize the NIMS and adopt NIMS principles and policies.
- Determine which NIMS requirements already have been met.
- Develop a strategy and timeframe for full NIMS implementation.
- Institutionalize the use of the Incident Command System (ICS).

NIMS FY2006 Compliance Activities are listed in the NIC's NIMS Implementation Matrix for States and Territories and NIMS Implementation Matrix for Tribal and Local Jurisdictions. Required training is detailed in the NIM's October 2005 guidance, FY2006 Training Requirements.

National Response Plan (NRP)

The NRP is an all-discipline, all-hazards plan released publicly in January 2005 that establishes a single, comprehensive framework for the management of domestic incidents. It provides the structure and mechanisms for the coordination of federal support to state, local, and tribal incident managers and for exercising direct federal authorities and responsibilities. The NRP assists in preventing terrorist attacks within the United States; reducing the nation's vulnerability to all natural and manmade hazards; and minimizing damage and assisting in recovery from any type of incident that occurs.

Homeland Security Presidential Directive (HSPD)-8: National Preparedness

HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a National Preparedness Goal, establishing mechanisms for improved delivery of federal preparedness assistance to state and local governments, and outlining actions to strengthen preparedness capabilities of federal, state, and local entities.

Statewide all-hazards preparedness strategies are expected to be consistent with the National Preparedness Goal assess the most effective ways to enhance preparedness, address areas facing higher risk especially to terrorism, and address local government concerns and Citizen Corps efforts. DHS developed National Planning Guidance that describes the National Preparedness Goal, the target levels of capability, and how to apply them in the development and update of preparedness assessments and strategies.

The National Preparedness Goal aims for federal, state, local, and tribal entities to achieve and sustain nationally accepted, risk-based, target levels of capability for prevention, preparedness, response, and recovery for major events, especially terrorism. The target levels of capability are based on National Planning Scenarios, a Universal Task list (UTL), and a Target Capabilities List (TCL). These tools were developed with input from the homeland security community at all levels and will continue to be updated over time. States are tasked with taking steps in FY05 to review and incorporate these

tools into their preparedness efforts in preparation for full implementation of HSPD-8 in FY06.

The National Planning Scenarios illustrate the scope and magnitude of major, catastrophic events for which the nation needs to be prepared. They include 12 terrorist attacks (including chemical, biological, radiological, nuclear, explosive, and cyber), two natural disasters, and pandemic influenza. The scenarios provide detail in terms of casualties, property damage, and economic losses necessary for projecting capability requirements for prevention, preparedness, response and recovery.

The Universal Task List (UTL)

The UTL is a useful planning reference: a comprehensive menu of tasks that may be performed during major events illustrated by the National Planning Scenarios. Federal, state, local, and tribal entities select the appropriate tasks that apply to their assigned missions. The UTL should be used by entities at all levels of government as a reference to help them plan, organize, equip, train, exercise, and evaluate personnel for the critical tasks that they may need to perform.

Target Capabilities List (TCL)

The Target Capabilities List identifies the capabilities needed to perform the tasks identified in the UTL for the major events illustrated by the National Planning Scenarios. A capability consists of properly planned, organized, equipped, trained, and exercised personnel needed to perform a task. The recently released Draft Target Capabilities List (Version 2.0) includes tiers to account for reasonable differences in capability levels among entities based on population density, critical infrastructure, and other risk factors. Entities are preparedness organizations established by levels of government with participation from the private and nonprofit sector, as described in NIMS. The Target Capabilities List also includes performance metrics.

Public Safety Communications and Interoperability Guidance

In May 2004, DHS adopted language about grant guidance developed by SAFECOM in an effort to ensure interoperability through the various layers of federal, state, and local government. The intent of the SAFECOM grant guidance is to ensure that the communications equipment being procured will lead to improved multi-disciplinary and/or multi-jurisdictional interoperable public safety communications. Among other things, the grant guidance addresses training public safety staff on issues related to emergency response communications.

Cooperative Outreach Training Program (CO-OP)

CO-OP is a program designed to decentralize the delivery of standardized SLGCP courses. It enables states to identify and approve institutions that can adopt and deliver the training. The program provides access to tools, including the course curricula and supporting materials.

CO-OP will be implemented in three phases. The first phase will occur in the first quarter of FY2006. At that time, State Administrative Agencies (SAA) will identify and approve institutions within their states, territories, or tribal entities to adopt and deliver SLGCP standardized training programs. The second phase will take place during the second quarter of FY06. SLGCP will provide State SAA and Training Points of Contact (POC) an electronic toolkit containing a list of the identified courses, the full curriculum for each course, and all attendant training support materials needed to deliver SLGCP developed training through SAA-approved institutions. During the third phase, the program will become institutionalized, with ongoing use by signatory state-sponsored, certified instructors delivering an expanding number of courses to an increasing number of responders.

[1] First Annual Report to the President and the Congress of the Advisory Panel to Assess Domestic Response Capabilities for Terrorism involving Weapons of Mass Destruction, I. Assessing the Threat, December, 15, 1999.

[2] Fourth Annual Report to the President and the Congress of the Advisory Panel to Assess Domestic Response Capabilities for Terrorism involving Weapons of Mass Destruction, IV. Implementing the National Strategy, December 15, 2002.

[3] Assessment of Federal Terrorism Preparedness Training, Federal Emergency Management Agency, April 12, 2002.

[4] U.S. General Accounting Office, Combating Terrorism: Selected Challenges and Recommendations, Report GAO-01-822, September 2001.

[5] Third Annual Report to the President and the Congress of the Advisory Panel to Assess Domestic Response Capabilities for Terrorism involving Weapons of Mass Destruction, III. For Ray Downey, December 15, 2001.

[6] Patrick O'Driscoll, "U.S. Anti-terror Training Camps Booked Solid," USA Today, Dec. 2, 2002.

[7] State and Local Preparedness for Terrorism: Selected Policy Issues, Congressional Research Service, Report for Congress, Ben Canada, Coordinator Analyst in American National Government and Finance Division, Updated December 19, 2002.

[8] Major Management Challenges and Program Risks: Department of Homeland Security, U.S. Government Accountability Office, Report No. GAO-03-102, January 01, 2003.

[9] "Hearing on Response to Terrorism: How is the Department of Homeland Security Improving our Capabilities?", Hearing Before the Select Committee on Homeland Security House of Representatives, One Hundred Eighth Congress, Second Session, June 19, 2003.

[10] Department of Homeland Security: Semiannual Report to the Congress, April 2003.

[11] Selected Federal Homeland Security Assistance Programs: A Summary, Congressional Research Service, CRS Report for Congress, Shawn Reese, Analyst in American National Government, Government and Finance Division, April 12, 2004.

[12] "New Preparedness Directorate to Include SLGCP/ODP," What's New, U.S. DHS ODP, www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm.

[13] Federal Funding to Prevent, Prepare for, and Respond to Acts of Terrorism and other Emergencies, Chart detailing funding information from 2001-2004 including the 2005 request, prepared by the Select Committee on Homeland Security, U.S. House of Representatives.

[14] Fact Sheet: U.S. Department of Homeland Security FY 2006 Budget Request Includes Seven Percent Increase, DHS Press Release, February 7, 2005.

[15] Department of Homeland Security Appropriations Act, 2006, Public Law 109-90, October 18, 2005.

[16] "Congress moves ahead on Risk Based Funding," Shaun Waterman, UPI Homeland and National Security Editor, United Press International, December 11, 2005.

[17] 2005 Program Guidance for the Assistance to Firefighters Grant Program, DHS ODP and the U.S. Fire Administration, February 2005.

[18] Letter from Homeland Security Secretary Tom Ridge to Governors, September 8, 2004; State and Territorial Compliance Activities: Federal Fiscal Year 2006 (Oct. 1, 2005 - Sept. 30, 2006), NIMS Integration Center; Tribal Government and Local Jurisdiction Compliance Activities: Federal Fiscal Year 2006 (Oct. 1, 2005 - Sept. 30, 2006), NIMS Integration Center; and FFY06 NIMS Training Requirements, NIMS Integration Center.

[19] "HSPD-8 Overview," What's New; "HSPD-8 in Context: The NRP, NIMS, and the Goal," Fact Sheet; "A Common approach to Preparedness: The National Preparedness Goal," Fact Sheet; and "Implementing Homeland Security Presidential Directive 8: A Federal, State, Local and Tribal Partnership," Fact Sheet, U.S. DHS ODP, http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm.

APPENDIX 2

FEDERAL PROGRAMS THAT SUPPORT TRAINING

Currently, the federal government offers an array of programs that provide training assistance to state and local governments. Many of the programs support a range of response disciplines. Others focus on specific critical infrastructure sectors, such as energy or transportation, or on specific disciplines, such as training for medical personnel. Detailed information about the programs is available in The Congressional Research Service Reports for Congress, Selected Federal Homeland Security Assistance Programs: A Summary[1] and Federal Counter-Terrorism Training: Issues for Congressional Oversight.[2]

Department for Homeland Security

DHS offers training assistance to state and local governments through the following programs:

State Homeland Security Grant Program – In addition to authorizing funds for specialized equipment, protecting infrastructure, and updating and implementing each State's Homeland Security Strategy (SHSS), this program provides grant funds for developing and conducting WMD training programs and designing, developing, conducting, and evaluating WMD exercises. Funds may be used to develop a state homeland security training program. Eligible costs also include establishing WMD training capacities within existing training academies, universities and junior colleges.

The grant funding formula used for this program is based on population, with a minimum of 0.75% guaranteed to every state, with the remaining amount distributed as directed by the USA Patriot Act. In accordance with their approved homeland security plan, states must allocate 80% of the grant funds to localities. There is no matching fund requirement for this program.

Urban Areas Security Initiative (UASI) Program – This program is a discretionary grant program that provides funding to metropolitan areas to train emergency responders and plan and execute exercises. Additional authorized activities include purchasing specialized WMD equipment, paying emergency responder overtime costs associated with heightened threat levels, enhancing port and mass transit security and radiological defense systems, pilot projects, and technical assistance.

DHS selects metropolitan areas to receive funding based on their vulnerability and threat assessment, which considers the location of critical infrastructure and population density. The grant funds are passed directly through from the states. Each local government

within the UASI area shares a portion of the allocated funds. There is no matching requirement for this program.

Assistance to Firefighters Program - This program awards one-year grants directly to fire departments to enhance their abilities to respond to fires and fire-related hazards. It provides funds to support firefighter safety, fire prevention, emergency medical services, and firefighting vehicle acquisition. The program's grant application process is competitive, and applications are peer reviewed by state and local fire department officials.

Citizen Corps' Community Emergency Response Teams - On January 29, 2002, President Bush issued an executive order that established the USA Freedom Corps. The Freedom Corps' mission is to increase opportunities for citizens by expanding and enhancing public service. Within the USA Freedom Corps, the Citizen Corps program was established to coordinate volunteer organizations and "to make local communities safe and prepared to respond to any emergency situation." Of the four programs that Citizen Corps administers, Community Emergency Response Teams (CERT) is the only one that provides grant funding to volunteer emergency responders.

The CERT grant program authorizes funding for professional emergency responders to train CERT volunteers to respond to emergency situations within their local communities. CERT volunteers are trained to provide critical support to emergency responders, provide immediate assistance to victims, and organize spontaneous volunteers at a disaster site.

The grant funding formula used for this program is based on population, with a minimum of 0.75% guaranteed to every state. The remaining amount distributed as directed by the USA PATRIOT Act. While states may apply for a grant under this program, any community that has established a Citizen Corps Council is also eligible to receive funding.

Emergency Management Performance Grants - This program is designed to assist the development, maintenance, and improvement of state and local emergency management capabilities. It provides support to state and local governments to achieve measurable results in key functional areas of emergency management. The grant formula used for this program is based on population, with a minimum of 0.75% guaranteed to every state, with the remaining amount distributed in direct proportion to the population of each state. The distribution of funds from states to localities is at the discretion of each state's EMPG administering agency, typically the state emergency management agency or office. The state matching requirement for this program is 50%
EMPG funds are used for emergency management personnel costs, travel, training, supplies, and other routine expenditures for emergency management activities.

Funds from this grant program may also be used for consequence management preparedness projects and programs that develop and improve the capabilities of states and localities to prepare for, respond to, and recover from acts of terrorism involving WMD.

States may use EMPG funds to structure their individual emergency management programs based on identified needs and priorities for strengthening emergency management capabilities. States may also use EMPG funds to develop intrastate emergency management systems that encourage partnership building among government, business, and volunteer and community organizations. State emergency management agencies or offices are eligible applicants and recipients of this grant program; additionally, state emergency management agencies may pass funds to emergency management offices at the local level.

Urban Search and Rescue Task Forces. The Federal Response Plan calls for Urban Search and Rescue (US&R) task forces to provide special rescue assistance to state and local authorities when requested following a disaster. Such capabilities include locating and extricating victims in collapsed structures and providing on-site medical treatment as necessary. Each task force has sufficient personnel to assign at least two people to each of 31 positions. Most members are either firefighters or paramedics, but some are private sector specialists.

FEMA provides full funding for the initial equipment costs of new task forces, which amounted to $1.7 million for each task force when the program started. FEMA also provides some funds to meet ongoing training and equipment costs. According to program officials, state and local governments can expect to pay 80% of the long-term costs associated with sponsoring a US&R task force. In addition to providing funding for equipment and training, FEMA also provides hands-on training in search and rescue techniques and equipment, and technical assistance to local communities that support US&R task forces

Most US&R funds are used to purchase or upgrade equipment, and provide training to US&R task force personnel. Funds also provide for equipping new task forces. Several years have passed since new task forces were initiated; however, FEMA has not determined how much funding would be necessary today to equip a new task force. Funding is directed to the 28 nationwide US&R task forces, which are the only eligible applicants under this program.

Other DHS Training Assistance Activities – DHS comprises numerous agencies, offices, institutes, and partners that provide counter-terrorism training for federal, state, and local government personnel. DHS training is provided at such facilities as the Federal Law Enforcement Training Center (FLETC), National Fire Academy (NFA), and Emergency Management Institute (EMI). FLETC is an interagency law enforcement center that provides training for federal law enforcement agencies. The Federal Emergency Management Agency (FEMA) administers EMI and NFA training activities. NFA trains fire and emergency response personnel to enhance their abilities to respond to fires and related emergencies. EMI is a training program consisting of resident and non-resident courses aimed at enhancing emergency management practices.

ODP is the principal DHS agency providing counter-terrorism and WMD training to states and localities. ODP provides terrorism and WMD training through DHS training institutions

and partners. ODP training partners include the Training and Data Exchange Group (TRADE), the National Domestic Preparedness Consortium (NDPC), federal departments, and private and professional organizations. ODP uses a variety of approaches that include traditional classroom methods, train-the-trainer, web-based training, and video tele-conferencing.

TRADE is a federal interagency group that provides training to state and local emergency responders and reviews member courses for consistency. TRADE members include the following:

- United States Fire Administration's (USFDA) National Fire Academy (NFA);
- Federal Bureau of Investigation (FBI);
- Department of Justice (DOJ);
- Federal Emergency Management Agency (FEMA);
- Environmental Protection Agency (EPA);
- Department of Energy (DOE);
- Department of Health and Human Services (HHS);
- Centers for Disease Control and Prevention (CDC);
- Emergency Management Institute (EMI); and
- Federal Law Enforcement Training Center (FLETC).

The National Domestic Preparedness Consortium (NDPC) is composed of federal training facilities and academic institutions that provide training to emergency responders in different locations in the United States. NDPC members include:

- Center for Domestic Preparedness (CDP), at Anniston, Alabama
- Academy of Counter-Terrorist Education (ACE), at Louisiana State University
- National Emergency Response and Rescue Training Center (NERRTC), at the Texas Engineering Extension Service (TEEX)
- Texas A&M University (TAMU)
- Energetic Materials Research and Testing Center (EMRTC), at New Mexico Institute of Mining and Technology (NMIMT)
- National Center for Exercise Excellence (NCEE), at Nevada Test Site (NTS)

Center for Domestic Preparedness (CDP), administered by ODP, provides specialized training to state and local emergency responders in the management and mitigation of domestic terrorism incidents, specifically those incidents involving chemical agents and other toxic substances.

Academy for Counter-Terrorism Education (ACE), administered by LSU, provides training to emergency responders on the detection, prevention, and response to terrorist incidents involving WMD. The training ranges from basic firefighting to advanced technical training in rescue and hazardous materials.

National Emergency Response and Rescue Training Center (NERRTC) was established by the Texas Engineering Extension Service at Texas A&M University and provides counter-terrorism training for federal, state, and local officials

(including emergency responders). The center includes a mock city, an explosives area, and a weapons range for emergency response training.

Energetic Materials Research and Testing Center. Under a cooperative agreement with ODP, EMRTC, administered by the New Mexico Institute of Mining and Technology, provides explosive and incendiary training to state and local emergency responders. The training focuses on WMD incident operations and awareness.

National Exercise, Test, and Training Center. NETTC, administered by DOE's Nevada Test Site, provides radiological and nuclear WMD training to federal, state, and local emergency responders. The center's training includes courses on radiation and nuclear agents and WMD exercise design.

Office for Domestic Preparedness Training Partners. In addition to TRADE and NDPC, ODP has cooperative agreements with other federal agencies, private industry, academic institutions, and professional organizations that provide training to federal, state, and local emergency responders. These partners include the following:

- Community Research Associates
- U.S. Army Dugway Proving Ground
- International Association of Fire Fighters
- U.S. Navy's Naval Postgraduate School
- National Sheriff's Association
- General Physics Corporation at Pine Bluff Arsenal
- Science Applications International Corporation
- George Washington University
- Michigan State University
- International Association of Campus Law Enforcement Administrators
- International Association of Chiefs of Police

Department of Defense

The majority of the Department of Defense's (DOD) terrorism-related training courses are dedicated to military personnel. DOD's expertise and range of training facilities related to chemical, biological, radiological, and nuclear (CBRN) weapons, however, offer a limited selection of training programs that are available to non-DOD personnel. Most of these programs are intended for medical and technical personnel who could be called upon to respond and treat casualties following an incident involving CBRN weapons. Several of the training courses are provided with the joint sponsorship of the American Red Cross.

DOD provides counter-terrorism training to non-DOD personnel at the following:

- U.S. Army Medical Research Institutes for Chemical and Infectious Diseases, Aberdeen Proving Ground in Maryland, and Dugway Proving Ground in Utah;
- Clara Barton Center for Domestic Preparedness, U.S. Army Pine Bluff Arsenal in Arkansas;
- Armed Forces Radiobiology Research Institute, in Bethesda, Maryland; and
- Joint Interagency Training Center, in San Diego, California.

Department of Energy

The Department of Energy (DOE) provides technical assistance and training to states for public safety officials through whose jurisdictions DOE plans to transport spent nuclear fuel or high-level radioactive waste. DOE's Office of Environmental Management trains emergency responders for shipments to the Waste Isolation Pilot Plant (WIPP), and also provides training through the Transportation Emergency Preparedness Program (TEPP). Twenty-three states18 have received approximately $30 million in training since 1988 to prepare for radioactive waste shipments to the WIPP near Carlsbad, New Mexico. The TEPP has provided technical assistance and training to emergency responders in 34 states including Washington. In FY2002, DOE provided $5.8 million for training to the states along its major transportation corridors. DOE estimates that it has trained 16,200 responders since FY1999.

Environmental Protection Agency

EPA has established a Water Security Division within the Office of Ground Water and Drinking Water. Among its responsibilities and activities, the Water Security Division provides security and antiterrorism-related technical assistance and training to the water sector. EPA's Water Security Division generally does not perform the training itself; it delivers training at locations across the country through stakeholder organizations and other federal partners.

EPA has sponsored training on a variety of security topics, including courses to help community water systems prepare vulnerability assessments and emergency response plans, as required by the Bioterrorism Act (P.L. 107-188). EPA has entered into an interagency agreement with the Office for Domestic Preparedness (ODP) within DHS, under which ODP has provided emergency response training for medium and large drinking water utilities, first responders, and local elected officials. To assist smaller drinking water utilities not covered by the Bioterrorism Act, EPA has provided funding to the National Rural Water Association to deliver security training.

EPA continues to support vulnerability assessment training for wastewater utilities. For example, during 2005, vulnerability assessment and emergency response training is being offered through the Water Environment Federation to roughly 600 medium and small wastewater utilities. EPA also is providing money to training centers that provide technical assistance to very small wastewater utilities and is funding ODP to provide emergency response table-top exercise training to large wastewater utilities. Other security-related training activities sponsored by the Water Security Division have included train-the-trainer workshops, and training on emergency responses to threats of intentional contamination of water supplies.

EPA has responsibilities under the Comprehensive Emergency Response, Compensation, and Liability Act (CERCLA, or Superfund) for responding to substantial releases of hazardous chemicals when they affect inland (i.e., non-marine) environments.

The Environmental Response Training Program shares EPA's expertise in recognizing, evaluating, and controlling releases of hazardous chemicals through four courses for federal employees and contractors and for first responders at the state and local levels of government.

Department of Health and Human Services

Counter-terrorism training programs supported by the Department of Health and Human Services (DHHS) are aimed at a variety of public health and healthcare providers, individuals who provide ancillary health services such as laboratory testing, and researchers who study health effects from, or countermeasures to, biological, chemical and radiological agents.

The training programs have a variety of intended purposes, including assuring the ability to recognize and treat victims of terrorist events, protecting workers and others from infection or contamination while care is rendered, protecting critical healthcare assets and maintaining electronic and other lines of communication during catastrophic events, assuring competent laboratory services, and assuring that certain assets such as radioactive materials or biological organisms are secured against potential misuse.

All of the HHS agencies listed below have responsibility for funding and administering specific training programs and assets. Rather than listing hundreds of courses and publications, the following sections will instead focus on the infrastructure for developing and delivering training in each of these agencies. In some cases, federal, state and local agencies have funded course development and delivery through academic institutions. In other cases, agencies have expanded their training sites, laboratories, information technology infrastructure for distance learning, and training workforces.

Centers for Disease Control and Prevention. CDC is the agency primarily responsible for the public health response to terrorism and other public health emergencies. Most extramural training programs at CDC have been coordinated across centers and offices by the CDC Public Health Practice Program Office (PHPPO). CDC also supports intramural training of public health professionals through its Epidemiology Program Office (EPO). According to a reorganization called the CDC Futures Initiative, existing PHPPO and EPO training activities are redistributed to several new organizational units within CDC.26 CDC funded training programs are developed and delivered in a variety of ways. CDC is entirely responsible for some programs. Others are developed and delivered in conjunction with state and local health departments and academic centers, although some are developed by these entities with CDC funding but little direct input otherwise. Other CDC training centers, networks, and projects include:

- Public Health Training Network;
- National Laboratory Training Network;
- Centers for Public Health Preparedness;
- Public Health Ready; and
- Public Health Law Program.

Agency for Healthcare Research and Quality. The Agency for Healthcare Research and Quality (AHRQ) develops and disseminates evidence-based information and guidance to healthcare and public health providers in planning for and responding to bioterrorism. AHRQ programs and products include:

- Online training modules on bioterrorism
- Preparedness assessment tools, including hospital disaster drills
- Computer simulation models for response planning

Health Resources Services Administration. HRSA administers the National Bioterrorism Hospital Preparedness Program, a program of grants to states to prepare hospitals and supporting health care systems to deliver coordinated and effective care to victims of terrorism and other public health emergencies.

Following the terrorist attacks of 2001, HRSA has provided annual grants to academic institutions through a new Bioterrorism Training and Curriculum Development Program for training in recognition and treatment of diseases related to bioterrorism for health care providers in training and on the job.

Food and Drug Administration. The Food and Drug Administration (FDA) assures the safety and efficacy of human drugs and vaccines, medical devices, and animal drugs, and the safety of certain foods and cosmetics. FDA provides training for its own employees and for state, local, and tribal regulatory personnel at no cost through its Office of Regulatory Affairs "ORA University." Relevant training courses for terrorism preparedness include those geared toward implementation of new regulations for food and drug safety in the Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L. 107-188. Formats include Web-based and classroom instruction, video teleconferences, and a library of training materials.

National Institutes of Health. The National Institutes of Health provide training fellowships for graduate and post-doctoral education in biomedical research, either in NIH facilities or in non-federal academic institutions. Some of the research supported by NIH is targeted toward terrorism preparedness and response, including the study of diseases caused by bioterrorism agents, and the development of new tests, drugs, and vaccines to diagnose and treat these diseases.

Bioterrorism research activities at NIH are led by the National Institute of Allergy and Infectious Diseases (NIAID). Other NIH institutes, alone or in collaboration, also fund relevant research. Examples include grants for disaster mental health research capacity and informatics for disaster management.

Department of Justice

The Department of Justice (DOJ) enforces the law to help ensure public safety against foreign and domestic terrorist threats, by conducting federal investigations and prosecutions of persons suspected of unlawful activities. DOJ also sponsors and provides assistance to state and local law enforcement agencies.

Listed below are several of these programs. While some of these programs are not directly related to counter-terrorism, they are listed because they may convey the knowledge and skills to law enforcement personnel that could advance investigations of terrorist activities and responses to terrorist incidents. Some programs are provided directly by DOJ entities; others are sponsored by DOJ, through the Bureau of Justice Assistance, and provided by nonprofit law enforcement organizations.

DOJ training includes:

- State and Local Anti-Terrorism Training;
- WMD Hazardous Material Evidence Collection;
- Crisis Management;
- Crisis Negotiation;
- Law Enforcement Response to Terrorism;
- Multi-Agency Incident Management for Law Enforcement and Fire Service;
- Tactics, Techniques, and Procedures for Terrorists;
- Terrorism and Explosive Seminars;
- Criminal Intelligence Systems;
- Foundations of Intelligence Analysis;
- White Collar Crime and Terrorism;
- Cyber and Computer Crime; and
- Basic LAN and Advanced Internet Investigations.

Department of Transportation

Within the Department of Transportation, the Federal Transit Administration (FTA) is responsible for providing counterterrorism and homeland security training to transit system personnel. FTA provides security guidance to transit system operators, and it has instituted a five-point security initiative to assist transit systems in preparing for and responding to terrorist attacks. In addition to training, FTA provides assistance to transit system agencies with onsite readiness assessments, technical assistance, regional forums for emergency responders, and grants for terrorism drills.

FTA is also working with the transit industry to identify critical, high-risk assets and operations and to develop security strategies for these critical assets. The strategies will address training, technical assistance, sharing best practices, and testing new security technology. FTA's counter-terrorism training courses are available to transit system administrators, operators, managers, and emergency responders.

[1] Selected Federal Homeland Security Assistance Programs: A Summary, Congressional Research Service, CRS Report for Congress, Shawn Reese, Analyst in American National Government, Government and Finance Division, April 12, 2004.

[2] Federal Counter-Terrorism Training: Issues for Congressional Oversight, Congressional Research Service, CRS Report for Congress, Shawn Reese, Coordinator, Government and Finance Division, May 16, 2005.

Appendix 3:

Smart Card Credentialing Systems

A “smart card” example is a plastic card embedded with a computer chip that stores and transacts information. This data is associated with either value or knowledge or both and is stored and processed within the card's chip, either a memory or microprocessor. The card data is transacted via a reader that is part of a computing system. Smart card systems are in use today through a number of industries, including healthcare, banking, entertainment and transportation. Citizens have been using smart cards for everything from library checkout to buying groceries to renting DVDs. This is not *Star Wars* technology. Smart cards are not only feasible, but are widely used every day, by companies and government agencies, in a broad variety of applications. The cards themselves are not particularly expensive, though they obviously cost more than cards that do not have chips imbedded in them. The biggest expense is populating and maintaining the data base which backs up the cards.

Leveraging existing technology, a credentialing system might include smart cards, wearable (e.g. “dog tags, watch,) issued to individual first responders, scanner enabled lap-tops and PDAs, and wireless technology which connect these components to a training and registration system. In addition to containing training and certification information, smart cards carried by every emergency responder could include digitally encoded biometric data for security and identification purposes, medical information which could be important for emergency treatment, and additional data deemed important by a discipline or unit.

The federal government, with its tremendous resources, has made the most progress toward issuing smart cards to personnel. In addition to the military, the Transportation Security Administration (TSA) has begun work on a Transportation Worker Identification Credential (TWIC) prototype. The Government Accounting Office has also been conducting some research in support of Congressional proposals to create smart card-based state drivers licenses. The federal government is also pushing ahead with the creation of "smart visas" that will electronically verify the identity of foreign visitors.

Corporate Emergency Access System

The Corporate Emergency Access System (CEAS) is a credentialing program developed by the Business Network of Emergency Resources (BNet) in conjunction with local governments that permits businesses, through a written agreement with their local municipality, to enroll their most critical employees to receive a secure identification card recognized by local law enforcement officers for access into restricted areas following a severe emergency or disaster. BNet is a not-for-profit corporation which establishes emergency and crisis management solutions between the public and private sector.

CEAS is a regional program developed with the input of local organizations and businesses and is owned and implemented at time of disaster by the local OEM or equivalent authorities. The program designed to help business owners - both large and small - mitigate the potential damage and financial losses resulting from an unforeseen emergency or catastrophe. CEAS will assist organizations and businesses in re-entering areas restricted to public access due to emergency conditions when the areas is deemed safe by local authorities for limited re-entry.

CEAS will allow pre-identified employees, with local authority approval, to have access within the restricted perimeter to work sites to help sustain guardianship of an organization or business until "normal" conditions resume in the region. These employees are issued a card, or credential, which identifies them as pre-cleared participants. Each business bears the cost of its participation which is $25 per identified employee per year.

While the CEAS is not intended for emergency response professionals, it does serve as an example of a credentialing system which could enhance preparedness and response efforts. The system resulted from lessons learned at the WTC site after 9/11. It is a way of pre-credentialing specific business personnel to allow for ease of access and security in the aftermath of a disaster. BNet promises a system which is both manageable and secure.

Currently the cities taking part in CEAS include New York City, Boston, Buffalo, and Stamford, CT. According to BNet, the City of Seattle has expressed some interest in offering the program to its business community.

Systems Promoted by Vendors

A number of firms are promoting credentialing support systems. Among the most prominent are (italics are copied from corporate marketing materials):

SuperCom

SmartDSMS™ is a comprehensive solution for facilitating the authentication and flow of on-site personnel in disaster recovery operations. Built on SuperCom's patented DynaGate™ technology, the wireless mobile units are specifically designed to monitor the movement of credentialed individuals throughout the disaster area. The wireless solution provides the capability of transmission of data over distances exceeding ten miles in and around debris and buildings.

By utilizing DynaGate, a mobile wireless access control system, every entrance is managed and documented at the disaster site. The local first responders to the disaster area are pre-badged prior to any emergency. Other personnel are provided with badges at the on-site enrollment station. Advantages of this "smart" solution include the ability to store personal data on the card such as fingerprint, blood type, allergies and emergency contact information and an authorization level to each DynaGate access zone station. Access data is maintained in real-time on a central server.

CoreStreet

The PIVMAN System allows authorized personnel the ability to control access to any site with confidence by quickly authenticating and validating the roles and identities of entering individuals. This system for mobile validation includes server software, handhelds and other devices that manage privilege information for vast numbers of individuals—well into the hundreds of millions—without affecting performance, and without requiring a persistent connection to a centralized data source. Effective management is essential. With the PIVMAN system, individual cardholder privileges and identities are instantly validated ensuring the right people gain access at the right time. By bringing together multiple independent databases the PIVMAN System ensures that all relevant authorized individuals can be called upon in any scenario.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